

CFP 131 (2)

Capt Seaborn
Sgt. Bay



LEADERSHIP

VOLUME 2

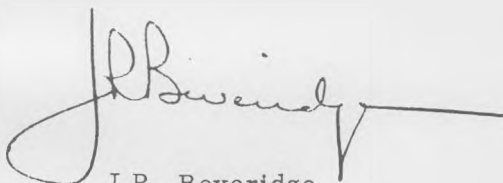
THE PROFESSIONAL OFFICER

CANADIAN FORCES HEADQUARTERS

FOREWORD

30 November, 1970

1. CFP 131, Leadership, Volume 2, The Professional Officer is issued under the authority of the Queen's Regulations and Orders for the Canadian Forces, article 1.23.
2. CFP 131(2) is effective upon receipt.
3. Suggestions for amendments should be forwarded through the usual channels to Canadian Forces Headquarters, Attention Director of Training.

A handwritten signature in dark ink, appearing to read 'J.R. Beveridge', with a long horizontal stroke extending to the right.

J.R. Beveridge
Lieutenant-Colonel
for Chief of the Defence Staff

(Originally promulgated 1 October, 1966)

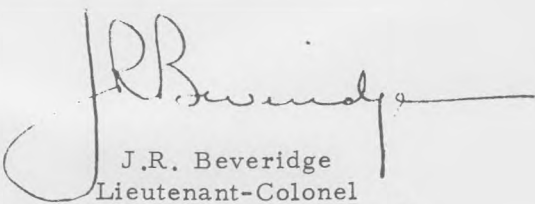
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AMENDMENT LIST 1
To CFP 131(2)

AMENDMENTS TO CFP 131(2) - LEADERSHIP, VOLUME 2,
THE PROFESSIONAL OFFICER

FOREWORD

1. The following amendments are approved and shall be inserted on receipt.
2. This amendment list is effective upon receipt.



J.R. Beveridge
Lieutenant-Colonel
for Chief of the Defence Staff

AMENDMENT INSTRUCTIONS

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the following pages:

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Insert the following
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CHAPTER 1

INTRODUCTION

101. AIM

The aim of this volume is to provide reference material on the art of leadership, additional to that which is included in CFP 131(1), Junior Leader's Manual, suitable for study by the professional officer.

102. BACKGROUND

1. Leadership is the primary reason for the existence of all officers of the Canadian Forces. Since the effectiveness of our Canadian Forces depends in large measure upon the quality of our leaders, it is vital that our training in leadership be correct in its principles and in its application.

2. A study of our leadership training programmes, carried out in 1964 and 1965 by the Directorate of Training assisted by the Directorate of Personnel Selection and Research, indicated:

- a. Weakness in Theory. The result of hazy and conflict ideas on leadership itself and the lack of reference manuals.
- b. Weakness in Practice. The result of our failure to teach practical leadership at junior levels and our reluctance to delegate sufficient authority and responsibility to junior leaders during on-the-job training.

3. A plan for manuals to cover this subject was therefore devised to help correct these deficiencies. Formal training in itself, however, is not the entire answer. Junior leaders must be given the opportunity to learn by doing; and their superiors must permit such learning, accepting the fact that some mistakes will be made during the learning process.

103. SCOPE AND CONTENTS

1. The first volume in the new leadership series is CFP 131(1), Junior Leader's Manual. It is divided into two parts with Part 2, Practical Leadership designed for use at the Junior NCO or equivalent level. CFP 131(1), including Part 1, Background Knowledge, is designed for use at the Senior NCO/equivalent and officer cadet levels of training. The volume includes the elementary functions of management applicable at these levels.

2. CFP 131(2), Leadership for the Professional Officer, is the second volume in the series. It is designed for use in post-commission training by officers up to and including the rank of major and equivalent. Apart from direct use by the junior officer, the material in this text will be available to officers and warrant officers instructing in leadership and to students for reading assignments as well as for reference material for leadership research.

3. CFP 131(3), Management for the Professional Officer, is the third volume planned in the leadership series.

4. The development of CFP 131(2), Leadership for the Professional Officer, follows three main themes:

- a. philosophical assumptions related to leadership;
- b. the findings of applicable research in the behavioural sciences; and
- c. the comments and reported experience of authors who have had extensive and successful careers as military leaders.

5. The general plan of this volume follows a definite pattern of emphasis:

- a. introduction;
- b. the leader;

- c. the follower;
- d. the situation;
- e. the leader's functions; and
- f. the professional officer - conclusion and summary.

6. The scope of this volume is limited to those aspects of influence which a leader exerts on his followers, short of considerations which belong properly to management studies. An effort has been made to trace back the governing ideas which dominate today's studies of leadership in order that the student will have a grasp of the origin and development of the concepts presented. Otherwise, the scope of the volume has been directed to the activities in which the young officer is likely to engage personally as a leader of men.

104. IDEAS AND TERMINOLOGY

Leadership is a subject which has captured the interest and imagination of an increasing number of writers. Within the last quarter of a century a series of books and articles has been produced, all with slightly different points of view, different emphasis, and different conclusions. A total synthesis of all the ideas presented would be impossible and impracticable. A selection of source material had to be made within the scope of the volume. As new ideas have been advanced, new terms have been coined, some apt, some misleading, some very ugly. Clarity and simplicity are best preserved by adapting familiar words to new ideas. When a common word has lost its edge from over-use or from unfortunate connotations, a new or less common word has to be used. When this happens in this publication, the meaning of the new term is fully explained.

105. APPLICATION

The young officer will, in the course of his career, be placed in a multitude of leadership situations which will challenge his competence as a leader. This volume will not provide a ready answer to every problem, nor will it be a panacea for every officer's weaknesses. It will, however, if used properly, arm the young officer with the necessary expertise to proceed in his leadership duties with dispatch and assurance. It will provide a solid basis for further studies in leadership and problems of human relations, and will also provide a ready reference for the fundamentals of good leadership. As the young officer progresses in his military career, experience will be his chief teacher, with the resultant achievement of self-confidence and professional competence. In the early stages of his career, the young officer will find that the fundamental principles and techniques expressed in this volume will prove to be a useful guide.

(106 to 199 inclusive: not allocated)

CHAPTER 2

CURRENT CONCEPTS AND PRINCIPLES OF LEADERSHIP

201. AIM

The aim of this chapter is to present the governing ideas which shape the current study of leadership.

202. DEFINITIONS AND BACKGROUND

1. Leadership is defined as the art of influencing human behaviour so as to accomplish a mission in the manner desired by the leader. As such, leadership is distinguished from management, which is defined as the science of employing men and material in the economical and effective accomplishment of a mission. Command is defined as the lawful authority which a superior exerts over his subordinates in the Services by virtue of his rank and appointment.

2. The military leader, the figure with whom this volume is concerned, is an appointed leader, having at his disposal all the resources of authority. There are occasions when it will be necessary for him to exercise the full power of command. There are other occasions, more fully described in Chap 3, which will require the adoption of a different approach to leadership - a "participative" rather than an "authoritative" approach. Using the participative approach to leadership, the leader exercises the resources of his learning and personality, interacting with his followers rather than commanding them. Leadership involves a relationship with followers that is intellectual, emotional, technical, and ethical. For this reason it is necessary to consider certain features of philosophy, behavioural science and the direct experience of military authors to cover the subject comprehensively.

203. TWO SETS OF PHILOSOPHIC ASSUMPTIONS

1. General. Of the several philosophical traditions, two only need concern us. They have been important in Western thought for centuries and their influence is felt today in both the arts and the sciences. The first tradition is chiefly associated with John Locke (1632-1704), the second with Immanuel Kant (1724-1804). (See art 208.) Although their ideas are by no means confined to national boundaries, Locke's thought is frequently referred to as British and Kant's as German or "continental".

2. Locke's Philosophy. In brief outline, the characteristics of Locke's philosophy are;

- a. common sense;
- b. the avoidance of logical extremes and paradoxes;
- c. practical solutions to problems;
- d. tolerance as opposed to dogmatism;
- e. knowledge as gained through sense impressions and experience, but by no other means;
- f. the intellect as passive, responding to external stimuli, but not in itself capable of spontaneous activity;
- g. the equality of men at birth;
- h. the importance of education as a factor in bringing about individual differences;
- j. the avoidance of emphasis on will and emotion; and
- k. the ethic of happiness as the chief end of man.

3. Influence on the North American Continent. On the North American continent, Locke's influence is very strong. The American constitution was practically quoted from his

work. Many of our prized values are included in his thought: the rule of a sovereign deity; the dignity of man; the validity of a rational approach to problem-solving; and the value of experience as a teacher. It was because of the emphasis on experience that Locke and his followers came to be called "Empiricists". His emphasis on what is external, measurable, and visible has had its impact on experiments in the behavioural sciences. It is impossible to study the learning process, for example, without examining experiment after experiment in which: the variables (external conditions) are controlled; the stimulus from the environment is limited and specific as far as possible; the subject's response to the stimulus is carefully measured; and the reinforcement of the response (usually a reward provided from the environment) is in measured and limited quantity. The rigours of quantification have led to the investigation of smaller and smaller areas of behaviour with findings that tend toward severely limited application and to some loss of perspective.

4. Influence of Locke on Leadership. In the study of leadership, the tradition of empiricism has important implications. The teaching of a drill is the conditioning of the followers' quick response to appropriate stimuli. The leader who is training his followers in an area of complex skills and knowledge, interacting with them in a participative manner, is adopting a Lockean technique to the extent that he is operating on an intellectual plane. When we state that desirable attributes of a leader are professional competence, justice, example, self-discipline, and decisiveness, we are presenting manifestations of leadership which are outward, visible, and subject to a rational analysis that is fundamentally Lockean.

5. Kant's Philosophy. Where Locke emphasized the function of the intellect as passive, Kant and his followers stressed the active, self-generating, dynamic qualities of the mind. Their interest lay in the area of the will and the emotions and in a more heroic ethic than happiness. The ethical imperatives which concerned them were bound up with suffering and sacrifice. Kant's successors came to be called "idealists" or "voluntarists". (See art 208.) The

connection with the word "volunteer" is seen here--descriptive of a man acting through will and emotion. The characteristics of Kant's philosophy are summarized as follows:

- a. idealism and a moral imperative;
- b. the pursuit of logic, even to extremes;
- c. idealistic solutions to problems;
- d. the dogmatic presentation of "truths";
- e. knowledge gained from the intellect itself, apart from sense perceptions;
- f. the intellect as active, dynamic, impinging on and shaping the environment, capable of insight independent of experience;
- g. the importance of the individual;
- h. the importance of emotional experience and the exertion of the will; and
- j. an ethic of duty, striving and sacrifice as the chief end of man.

6. Influence of Kant on Leadership. In the practice of leadership, the leader is closer to the Kantian tradition when, adopting the participative approach, he persuades, encourages, or inspires his followers as the occasion demands. When the leader adopts a "free-rein" approach, he is trusting his followers, highly trained and skilled technicians, to exercise their initiative and proceed to the accomplishment of the mission. He has his eye to the situation, but he withholds the repeated stimulation the followers would require to maintain their level of performance if they were merely "passive intellects". When we come to the leader's task of motivating his followers, we develop a concept related to will and emotion which the experimenters who are concerned with stimulus-response-reinforcement have some difficulty in handling. If we train

a junior officer by placing him as a leader in a training situation, we are assuming that he is in a valid learning situation when the variables are far less controlled and when the outcome is far less yielding to measurement than in the experiments that stem from an empiricist approach.

7. Effects of Two Traditional Approaches. It becomes apparent that both traditions have a bearing on the training and performance of a leader. Usually, they work in harmony. When the leader is training his men in complex skills and knowledge, it is not enough for him to impart cold information. He must encourage and persuade as well. When men are nearly overcome with fatigue, he must issue clear and decisive orders, but he must also encourage and inspire. There are a set of desirable attributes which are vital to the leader's success and which complement those of the more objective, Lockean tradition. They are integrity, responsibility, energy, confidence, and initiative, all of which present the leader as a self-activating, dynamic person, motivated by an ethic of duty and maintaining a high moral standard. The junior officer, as a leader who identifies objectives, initiates action, sets an enterprise in motion, and takes full responsibility for the outcome, is acting in conformity with the best that both traditions have to offer.

204. SCIENTIFIC STUDIES OF LEADERSHIP

1. Until comparatively recent years, studies of leadership centred on the leader who was assumed to be uniformly capable of accomplishing his mission, whatever the condition of his followers and whatever the factors of the situation. The leader was thought of as different from his followers in kind and attributes. The subjects of such study were the Alexanders and Napoleons, "great men" endowed with tremendous powers of intellect, will and emotion. As such studies progressed, the lower levels of leadership were more carefully explored, but still on the basis that the leader was "different" from the follower, and concerted efforts were made to identify and measure the differences that were believed to exist.

2. In 1947, at Ohio State University, Professor Stogdill undertook to make as complete a survey as was possible of the earlier studies that had been done on leadership to that date. As a result of his analysis, he arrived at certain conclusions.

3. The following conclusions were supported by uniformly positive evidence from 15 or more of the studies surveyed:

a. The average person who occupies a position of leadership exceeds the average member of his group in:

- (1) intelligence,
- (2) scholarship,
- (3) dependability in exercising responsibilities,
- (4) activity and social participation, and
- (5) socio-economic status.

b. The qualities, characteristics, and skills required in a leader are determined to a large extent by the demands of the situation in which he is to function as a leader.

4. A further conclusion, supported by uniformly positive evidence from 10 or more of the studies surveyed is that the average person who occupies a position of leadership exceeds the average member of his group to some degree in the following respects:

- a. sociability;
- b. initiative;
- c. persistence;
- d. knowing how to get things done;
- e. self-confidence;

- f. alertness to and insight into situations;
- g. co-operativeness;
- h. popularity;
- j. adaptability; and
- k. verbal facility.

5. In addition to the above, a number of factors have been found which are specific to well defined groups. For example, athletic ability and physical prowess have been found to be characteristics of leaders in boys' gangs and play groups. Intellectual fortitude (courage of one's convictions) and integrity are traits found to be associated with eminent leadership in maturity.

6. In approximate order of magnitude the items with the highest overall correlation with leadership are originality, popularity, sociability, judgement, aggressiveness, desire to excel, humour, co-operativeness, liveliness, and athletic ability.

7. The most fruitful studies, from the point of view of understanding leadership, have been those in which leadership behaviour was described and analysed on the basis of direct observation or analysis of biographical and case history data.

8. The factors which have been found to be associated with leadership could probably all be classified under:

- a. capacity (intelligence, alertness, verbal facility, originality, and judgement);
- b. achievement (scholarship, knowledge, and athletic accomplishments);
- c. responsibility (dependability, initiative, persistence, aggressiveness, self-confidence, and desire to excel);

- d. participation (activity, sociability, co-operation, adaptability, and humour); and
- e. status (socio-economic position, and popularity).

9. It is primarily by virtue of participating in group activities and demonstrating his capacity for expediting the work of the group that a person becomes endowed with leadership status. A number of investigators have been careful to distinguish between the leader and the figure-head, and to point out that leadership is always associated with the attainment of group objectives. Leadership implies activity, movement, getting work done. The leader is a person who occupies a position of responsibility in co-ordinating the activities of the members of the group in their task of attaining a common goal.

10. This leads to consideration of another significant factor - situation (mental level, status, skills, needs, and interests of followers, objectives to be achieved, etc.).

11. A person does not become a leader by virtue of the possession of some combination of traits, but the pattern of personal characteristics of the leader must bear some relevant relationship to the characteristics, activities, and goals of the followers. Thus, leadership must be conceived in terms of the interaction of variables which are in constant flux. The factor of change is especially characteristic of the situation, which may be radically altered by the addition or loss of members, changes in interpersonal relationships, changes in goals, competition of extra-group influences, and the like. The personal characteristics of the leader and of the followers are, in comparison, highly stable. The persistence of individual patterns of human behaviour in the face of constant situational change appears to be a primary obstacle encountered not only in the practice of leadership, but in the selection and placement of leaders. It is not especially difficult to find persons who are leaders, but it is quite another matter to place these persons in different situations where they will be able to function as leaders. It becomes clear that an adequate analysis of leadership involves not only a study of leaders, but also of situations.

12. The evidence suggests that leadership is a relation that exists between persons in a social situation, and that persons who are leaders in one situation may not necessarily be leaders in other situations. Must it then be assumed that leadership is entirely incidental, haphazard, and unpredictable? Not at all. The very studies which provide the strongest arguments for the situational nature of leadership also supply the strongest evidence indicating that leadership patterns as well as non-leadership patterns of behaviour are persistent and relatively stable.

13. From Stogdill's report, it is a short step to the leader-follower-situation concept of leadership and the study of leadership is thereby directed to "the interactions of variables which are in constant flux". If it is true that a particular leader is more effective in some situations than in others, then the remedy is to programme his training so that he is confronted by a wide variety of situations, gaining confidence from his increasing success in motivating and directing his followers in the accomplishment of many different kinds of mission.

14. Recently the studies of leadership, as reported in the psychological journals, have been dominated by the scientists employed in the Human Resources Research Organization (HumRRO), a civilian organization employed to study and recommend with respect to leadership training in the United States Army. The following, a page quoted from the West Point text, Military Leadership, presents an excellent summary of their findings. The fact that this analysis was done in an army setting does not prevent its applicability to training in the Navy or Air Force. (See art 208.)

- "a. Within recent years HumRRO has been conducting several well designed studies aimed at getting at the roots of effective leadership behaviour in Army units. In 1958 Dr. Carl J Lange and his associates published a study, code-named OFFTRAIN, involving 42 infantry platoon leaders in two operational regiments stationed at Fort Lewis, Washington. The researchers interviewed both superiors and subordinates of the platoon leaders to determine

acts which each leader actually performed on the job and to gain an evaluation of their overall quality as platoon leaders. It was found that platoon leaders who were consistently rated high were differentiated from those rated low in that they

- (1) stressed high standards of performance and urged platoon members to perform well on the task,
 - (2) showed personal involvement in good performance of their own jobs,
 - (3) showed personal competence in the performance of their own jobs,
 - (4) frequently promised rewards and rarely threatened punishment when assigning work,
 - (5) rewarded good performance,
 - (6) punished poor performance resulting from a motivation failure and used punishment instructively,
 - (7) obtained information and suggestions from subordinates and demonstrated good judgement in accepting and rejecting suggestions, and
 - (8) took action to reduce the effects of disrupting influences (specific difficulties in training or else personal, financial, and domestic troubles).
- b. A subsequent study, OFFTRAIN II, investigated the same behaviours on the part of 46 infantry platoon leaders assigned to a division engaged in basic training at Fort Riley, Kansas. The researchers, Lange and Jacobs, obtained substantial correlations with the results of OFF-TRAIN II. However, there were numerous differences vis-a-vis the importance of specific leadership behaviours in the two studies. For

example, in the basic training platoons it was more important that the platoon leader define the situation for his subordinates, assist them with personal and on-the-job problems, back up his NCOs, be consistent, admit his mistakes, and avoid getting "shaken up" by unexpected situations. The researchers felt that most of these behavioural differences could be explained in terms of the difference between the operational and training situations of the two studies.

- c. In summarizing the two studies, Dr. Lange and his associates felt that a leadership training programme should have two goals: to teach student officers a repertoire of behaviours for use, as appropriate, in many situations; and to teach them to recognize the demands of a situation in order to better determine the probable effects that their choice of action will have on others in each different situation. As to specific behaviours to be taught leadership students, the researchers felt that the following were indicated by both studies:

- (1) Defining at an Instructive Level. Basically this involves clearly explaining to the followers what their mistakes were and what to do to improve the next performance.
- (2) Appropriate Use of Reward and Punishment. This must be based on performance, with recognition of the difference between ability failure and motivational failure.
- (3) Handling Disruptive Influences. This primarily involves assisting the men with personal and work problems."

15. Summary of the Scientific Studies. From Stogdill's survey to the more recent HumRRO investigations, the developing theme has been one of increasing emphasis on the leader-follower-situation concept of leadership. The direction of study has been from "attributes", or what the

leader is, to "behaviours", or what the leader does. The latter concept has the advantage that it is easier to learn and assess. The military authors, whose comments follow, have tended to formulate their thoughts more in terms of the attributes of the leader, just as the behavioural scientists have tended to dwell more on the leader's activities.

205. LEADERSHIP RELATED TO DIRECT EXPERIENCE

1. The author of the most lucid and comprehensive commentary on leadership remains Field-Marshal Earl Wavell, whose *Soldiers and Soldiering* (see art 208) is a classic of its kind. The essential elements of leadership which he isolates and identifies are:

- a. robustness (the ability to stand the shocks of war);
- b. practical sense, professional competence, administrative acumen, a grasp of what is possible with the resources available, and common sense;
- c. energy and courage;
- d. flexibility;
- e. a genuine interest in and a real knowledge of humanity;
- f. the fighting spirit (the will to win);
- g. a spirit of adventure, the touch of the gambler, and willingness to take risks; and
- h. ability to maintain discipline and inspire devotion through
 - (1) justice,
 - (2) competence and concern for his men's welfare, and
 - (3) attention to administration.

2. By way of summary, Wavell has six commandments as guides that will ensure a leader's effectiveness:

- a. Enforce a strict, but not necessarily stern, discipline.
- b. Give praise where praise is due.
- c. Be present with the followers as often and as impressively as possible.
- d. Never indulge in sarcasm.
- e. Tell followers the truth except when security prevents.
- f. Within the imperatives of discipline and control, encourage men in their performance of duties.

3. A second author whose experience as a leader is significant is Air Chief Marshal Sir Basil Embry. His account of his actions when he took command of 2nd Tactical Air Force in May 43 contains a wealth of leadership activities that stand as outstanding examples. (See art 208.) His most important activities were:

- a. he took steps to clarify his force's precise operational role;
- b. he added imagination to the operational planning;
- c. he flew, personally, the numerous types of aircraft with which his command was equipped and had a careful assessment made of the average bombing error, in order to obtain a tangible scale of improved bombing accuracy;
- d. he visited all units, meeting as many of the aircrew as possible;
- e. he issued statements on the immediate and future role of the force;

- f. he took every available step to heighten pride of achievement and to infuse morale into the personnel;
- g. he directed station commanders to take part in operational flying;
- h. he made the most of his staff officers, taking them on operational flights as well as insisting on the very best staff performance;
- j. he increased the ability of his force in day and night operations;
- k. he insisted his force receive the best available aircraft with regard to both performance and armament;

NOTE: As a result of the training and spirit he introduced, bombing error was reduced from 1,200 to 200 yards.

- m. he made a careful study of every factor that affected operations and instituted improvements; and
- n. he took into account German gunnery and anti-aircraft positions and his intensive planning of operations included detailed models of targets to aid in pilot recognition of them.

As a result of Air Chief Marshal Embry's untiring efforts, his aircraft were ready and his aircrews trained to bomb small targets such as the enemy missile sites, from which England came under attack in the autumn of 1943. It is quite possible that his force's success in this mission was a critical factor in preventing extreme damage from the enemy's "flying-bombs" and in preventing disruption of the build-up for Operation Overlord.

206. THE PRINCIPLES OF LEADERSHIP

- 1. The principles of leadership have been developed as

the outcome of long and intensive analysis of leadership behaviour over the history of military organization. The junior officer can be sure that his relationships and consequently his effectiveness, both with his leaders and his followers, will improve if he heeds the following series of positive injunctions:

- a. achieve professional competence;
- b. appreciate your own strengths and limitations and pursue self-improvement;
- c. seek and accept responsibility;
- d. lead by example;
- e. make sure that your followers know your meaning and intent, and then lead them to the accomplishment of the mission;
- f. know your men and promote their welfare;
- g. develop the leadership potential of your followers;
- h. make sound and timely decisions;
- j. train your men as a team and employ them up to their capabilities; and
- k. keep your followers informed of the mission, the changing situation, and the overall picture.

207. SUMMARY

1. Within this chapter, a foundation for the study of leadership has been laid on the basis of three mutually supporting components:

- a. philosophic assumptions;
- b. scientific principles; and
- c. direct military experience.

2. Two philosophic traditions have been discussed as they bear on leadership; the one having to do with intellect, the other, with the will and emotions. The behavioural sciences have contributed scientific studies of what leaders at various levels must do in various situations, as opposed to what they must be. This has necessitated a reappraisal which has resulted in the adoption of the leader-follower-situation concept to replace the former attribute concept of leadership.

3. The experiences and reflections of military leaders have produced the ten principles of leadership in art 206.

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CHAPTER 3

LEADERSHIP APPROACHES

301. AIM

The aim of this chapter is to present the approaches to leadership in sufficient detail for a student of the subject to make effective use of the techniques discussed.

302. SCOPE

The approaches to leadership are discussed, i.e., those features of a leader's behaviour which are subject to modification in various situations. An account is given of experiments that have been carried out in the study of leadership. The results of the experiments confirm that a leader who fits his approach to the situation will receive a satisfactory response from his followers, while the leader who adopts an approach that is inappropriate will cause undesirable reactions among them. The means best suited to each approach are discussed.

303. THE SIGNIFICANCE OF THE TERMS EMPLOYED

1. An approach to leadership is essentially a technique, a manner which a leader consciously adopts toward his followers with a view to motivating them in the accomplishment of a mission. It is however, a good deal more than a pose or a pretence. Approaches to leadership vary with the situation as, for example, in the marked difference between the crisp delivery of a leader's orders on the parade square and the sympathetic manner with which he interviews a man who finds himself in some personal difficulty. The situational factors govern the approach.

2. The terms employed to describe the three approaches to leadership discussed in this manual are "authoritative", "participative", and "free-rein". These three approaches are not separate and distinct. They do differentiate between the manner a leader will adopt toward his followers in one

situation to gain full co-operation in achieving the mission from the manner he will adopt in another.

3. The authoritative approach is more objective and impersonal, generally characterized by the leader communicating orders to his followers when there is neither time nor opportunity for him to receive more than limited "feedback" of questions or suggestions from them. The participative approach is more interpersonal. The leader relies less on the authority vested in him and more on his personal resources. When a leader adopts the participative approach, he places himself in a challenging position where there is need for him to employ all his skills in dealing with fellow human beings. When the leader is instructing, developing the skills and knowledge of his followers, the manner he would adopt as a commander, issuing orders in the field, would be out of place and would inhibit rather than facilitate learning. Applying the participative approach the leader is more closely involved with his followers: asking and answering questions, counselling, winning their trust and confidence, encouraging them through the difficult phases and developing their leadership potential.

4. Generally, the developmental and persuasive aspects of the participative approach complement each other. There are occasions, however, when the leader must keep in balance those techniques which have to do with the learning process and those which have to do with emotional response. The emotional appeal that ranges from persuasion through encouragement to inspiration is out of context in some situations which relate to the followers' acquisition of skills and knowledge. When a man is learning the maintenance and repair of complicated electronic equipment, he requires his leader's assistance on the level of intellect. A much more appropriate occasion for encouragement and inspiration would arise toward the end of a long march through foul weather when it is necessary to keep men on the move.

5. Table 3-1 contains an outline of the three approaches, comparing and contrasting them in terms of appropriate situations. As discussion of the three approaches proceeds, reference to this outline will be of assistance as a study-guide.

304. SCIENTIFIC EXPERIMENTS IN APPROACHES
TO LEADERSHIP

1. Over the past twenty-five years, a series of experiments has been conducted, developed from early beginnings at the University of Iowa, but repeated in essential detail both in civilian and military settings, always with outcomes that are in virtual agreement. (See art 311.) In these experiments, the followers have been divided into three groups. The situation has been held constant, a training-work setting directed toward both performance goals and recreational goals. The three leaders in these experiments deliberately adopted specific approaches to leadership: authoritative; participative; and free-rein. The purpose of the experiments has been to observe, measure, and compare the attitudes and behaviour of the followers under each approach to leadership over a considerable period.

2. The results of the experiments proved that only the participative approach was appropriate to a situation which involved training and work performance. In consequence, both performance and recreational goals were achieved in the group where this approach was adopted. In the other groups, both goals were not achieved and unpleasant by-products of inappropriate leader-behaviour emerged in negative reactions and attitudes among the followers.

305. THE AUTHORITATIVE APPROACH -
EXPERIMENTS

1. The authoritative approach, as applied in the experiments, found the leader behaving as follows:

- a. He determined all policies.
- b. He dictated each technique and activity, step by step, so that the followers did not know what the future activities would be.
- c. He assigned tasks to individuals and allocated work companions.

<u>AUTHORITATIVE APPROACH</u>	<u>PARTICIPATIVE APPROACH</u>	<u>FREE-REIN APPROACH</u>
1. <u>Single Concept</u>	1. <u>Two Aspects</u>	1. <u>Single Concept</u>
	a. Developmental (involving the intellect).	Conditional on explicit circumstances (characterized by temporary withdrawal of the leader's influence).
	b. Persuasive (involving the will and emotions).	
2. <u>Appropriate Situations</u>	2. <u>Appropriate Situations</u>	2. <u>Appropriate Situations</u>
a. Urgent time factor.	a. (1) Teaching complex skills and knowledge.	When followers are:
b. Stress and danger.	(2) Problem solving.	a. technically expert;
c. Large numbers of men.	(3) Instruction.	b. well motivated;
d. Conditioning to quick response, drill, etc.	b. (1) Under hardship and personal difficulties.	c. meeting standards; and
e. Tactical manoeuvres.	(2) Interviewing and counselling.	d. accepting and attaining objectives.
f. Combat.		

Table 3-1 (Sheet 1 of 2) Leadership Approaches

AUTHORITATIVE APPROACH3. Means

- a. Authority.
- b. Discipline.
- c. Communication
(chiefly down the
chain of command).
- d. Delegation.
- e. Sanctions.
- f. Trust.

PARTICIPATIVE APPROACH3. Means

- a. (1) The learning
process.
- (2) The principles of
instruction.
- b. (1) Persuasion.
- (2) Encouragement.
- (3) Inspiration.

4. Means Common to Both
Aspects of the Participative
Approach

- a. The attributes of the
leader.
- b. Communication ("two-
way traffic"
predominant).
- c. Participation (involve-
ment by leader in
discussion and activity
with followers).

FREE-REIN APPROACH3. Means

Influence available but watchfully
withheld pending any need to
"tighten the reins".

Table 3-1 (Sheet 2 of 2) Leadership Approaches

- d. He refrained from participation in the group, except when demonstrating.
- e. He motivated individuals by praising or shaming them rather than assessing their workmanship.
- f. He did not offer encouragement or criticism to the group as a whole.

2. In this setting, out of keeping with a situation where the learning process and recreational as well as performance goals were pursued, the followers' responses under the authoritative approach to leadership were as follows:

- a. Performance goals were achieved.
- b. Recreational goals were not achieved.
- c. Performance dropped off impressively in the absence of the leader.
- d. The followers demonstrated both aggression and apathy. Either they became docile or there was much bickering, fighting, and criticism of the leader and a tendency for the group to make scapegoats of its weaker members.
- e. Followers undervalued their own work performance.

3. The authoritative approach, therefore, adopted where the skills and knowledge of the followers are the object of development, gets the work done; but if it is adopted persistently in such a setting it produces undesirable side-effects. Morale drops; individual attitudes worsen; and the stability of the group is threatened. There is a time and place for the authoritative approach; but when it is applied for long in the wrong time and place the followers are likely to resist or to withdraw from the situation.

306. THE PARTICIPATIVE APPROACH -
EXPERIMENTS

1. Adopting the participative approach to leadership in the experiments, the leader took the following measures:

- a. He encouraged suggestions from his followers so that policies were adopted as a result of discussion.
- b. The planning of future activities was discussed by the group so that the followers had an overall knowledge of the programme.
- c. Followers were permitted to choose their own work-companions and to divide the work as they saw fit.
- d. When advice on a complicated technique or a hard decision was needed, the leader suggested a variety of alternatives from which the followers selected the one which seemed best.
- e. When it came to a matter of praise or blame, the leader commented more on the workmanship than on the characteristics of the follower who had done the work.
- f. While retaining his position as leader, he involved himself in the work to some extent in a co-operative and helpful fashion.

2. These particular experiments were in keeping with that aspect of the participative approach best suited to the improvement of the skills and knowledge of the followers. The leader interacted with his followers on the intellectual level, correcting mistakes, passing information, bettering performance. In the experiments, the response of followers was:

- a. work goals were achieved;
- b. recreational goals were achieved;

- c. performance continued up to standard in the leader's absence;
- d. hostility and aggression were minimal;
- e. friendliness predominated among followers, with willingness to co-operate, sharing materials and tools; and
- f. followers placed a high value on their performance, taking pride in their achievements.

3. The participative approach is appropriate to two large aspects of a leader's function, which, while they are separate from certain specific situations, contain some common elements that overlap.

4. The "developmental" aspect, in which the leader, generally in the training role, is concerned with improving the skills and knowledge of his followers. In this setting, interaction between leader and follower is mainly on an intellectual plane. The leader assumes the role of educator or developer. Here, the need for interpersonal communication is evident and is markedly different from the one-way direction of communication which is more characteristic of the delivery of an authoritative command.

5. The second broad aspect of the participative approach, the "persuasive" aspect, is required when the leader must arouse the emotions and strengthen the will of his followers. Here the leader encourages, persuades, inspires his men as the occasion demands. It is obvious, of course, that in the training setting the leader encourages and persuades them to meet the required standard of skill and knowledge. What is meant in this other aspect is his behaviour toward his followers when they are terribly fatigued, but must press on, or when some particular effort is required, far in excess of the usual demands made on them. On such an occasion, Nelson flew his famous signal, "England expects that every man will do his duty". MacArthur, departing from the Phillipines stated, "I will return"; Churchill awakened a nation with a call for "Blood, sweat, toil and tears". Instance after instance exists in history where the leader has inspired his followers to superhuman effort in just this fashion.

307. THE FREE-REIN APPROACH -
EXPERIMENTS

1. In the Services, a free-rein approach to leadership is appropriate only to certain specific circumstances. In the experiments under discussion, the free-rein approach, particularly unsuited to the training situation of the experiments, required of the leader that:

- a. he allow freedom for group or individual decisions with no intervention on his part;
- b. he supply tools and materials and to say he would supply information and advice if they were desired, but to proffer none;
- c. he comment on the work from time to time, but in a random and sporadic manner; and
- d. he make no effort to control or regulate performance.

2. The results of applying the free-rein approach to leadership in this situation were most unsatisfactory in that:

- a. work goals were not achieved;
- b. recreational goals were achieved;
- c. work was irregular and disorganized;
- d. the followers indulged in excessive horseplay;
- e. the followers had no real sense of satisfaction in their performance; and
- f. there was much activity, but to little purpose, each man going his own way.

3. The free-rein approach, as it is applicable in the Services, is definitely not an abdication of leadership. It is a phase of leadership when the leader's influence is

temporarily withdrawn. In effect, the free-rein approach might be adopted as a phase of the authoritative approach if everything were proceeding in accordance with the leader's intent, but it is more likely to be the participative, rather than authoritative, influence that is temporarily withheld.

4. Apart from a situation in which follower activity is proceeding entirely as the leader desires, a free-rein approach is applicable only under explicit conditions. When the followers are highly trained, experts in a technical branch, well motivated, fully accepting the objectives and standards that have been set, knowing, perhaps, more about their particular function than the leader himself, the leader's direct influence is best held in abeyance. He holds a "free-rein", as if he were riding a well trained horse, but he is, nevertheless, master of the situation and should any disrupting factor threaten the activities of the followers, he must be particularly alert to tighten the reins quickly and see the difficulty resolved at once. A high order of foresight and awareness are demanded of the leader. The difficulty of the leader in reasserting his influence, once it has been withdrawn, presents a serious disadvantage to the free-rein approach.

5. It is easy for human beings to become complacent, and under the free-rein approach to leadership, both leaders and followers may fail to anticipate emerging difficulties. Woe to the leader who tries to excuse his failure to take a necessary action on the grounds that he was following the free-rein approach.

308. THE AUTHORITATIVE APPROACH - APPROPRIATE APPLICATION

1. From the results obtained in the experiments discussed in the previous articles, it is apparent that the authoritative approach, while it achieves work-goals, creates attitudes and behaviour among followers that are undesirable when the objective is to develop the followers in advanced or complex training. The Armed Services, in the performance of duty, encounter a variety of situations

in which the authoritative approach is not only appropriate but vital. Such occasions are:

- a. when time is the overriding consideration;
- b. when conditions of stress and danger prevail;
- c. when the activities of large numbers of followers must be co-ordinated;
- d. when the conditioning of the followers to immediate response is the purpose of the training; e.g., Drill;
- e. tactical manoeuvres; and
- f. combat.

In situations which require the authoritative approach, the leader who has gained the confidence of his men in previous training situations need have no fear that his exercise of command will produce other than satisfactory results. If he has employed the participative approach effectively when it was appropriate in training, his men are likely to follow him more readily in combat.

2. Table 3-2 illustrates the ill effects which can be anticipated, should a leader adopt the wrong approach to a situation.

309. THE TECHNIQUES APPLICABLE TO EACH APPROACH TO LEADERSHIP

1. General. Each of the approaches to leadership possesses specific means which assist in making the leader's performance more effective. These means are equally available to the leader who has adopted a free-rein approach. He must be prepared to utilize them the moment any disruptive factor threatens the accomplishment of the mission.

	Authoritative Approach Adopted	Participative Approach Adopted	Free-rein Approach Adopted
Authoritative Approach Required	Satisfactory Results	(1) Indecision and loss of time (2) Failure to meet deadlines (3) Failure to select and maintain the aim (4) Loss of control	(1) Confusion (2) Failure to accomplish mission (3) Emergence of a leader to take the place of the formal leader
Participative Approach Required	(1) Performance goals achieved (2) Recreational goals not achieved (3) Work drops off when leader absent (4) Both aggression and apathy in followers (5) Loss of morale and group solidarity	Satisfactory Results	(1) Work goals not achieved (2) Recreational goals achieved (3) Work irregular and disorganized (4) No sense of satisfaction by followers (5) Much activity to no purpose
Free-rein Approach Required	(1) Follower resistance and sabotage (2) Information kept from leader (3) Followers withdraw from situation	(1) Followers irritated by leader's interference (2) Loss of working time (3) Distraction from objectives	Satisfactory Results

Table 3-2 Typical Results Comparing Approach Required to Approach Adopted

2. Means Available to the Authoritative Approach

- a. The first means available in the authoritative approach is authority. When he commands, orders, directs, the leader does so with the full weight of legal authority in support of his actions. In wielding this power, the young officer is cautioned that a high degree of responsibility is entailed. He must be sure the order that he delivers is lawful and that it conforms to the intent of his leader in the accomplishment of the mission.
- b. His second means is the discipline he has himself instilled in his men. If he has performed this task well, he can anticipate their immediate response to his word.
- c. Delegation is a third means by which a leader utilizes his followers in the accomplishment of a mission. There is a contentious point in delegation. When a leader, selecting a subordinate leader and allocating men and materials to him, delegates the authority to him to carry out a specific task, does the leader also delegate full responsibility to his subordinate leader? In the Services, the leader delegates authority; the subordinate leader always bears responsibility to his leader, but the leader who delegates authority retains overall responsibility for the success of the mission. If the subordinate fails, the leader who delegated the authority is ultimately responsible: if the subordinate succeeds, all credit to him for a job well done. It was in this context that General Lee, after Gettysburg, said, "It was all my fault." The real fault was probably that of subordinate generals, but Lee took full responsibility, as a leader must.
- d. The leader's fourth means consists of sanctions; reward and punishment. "This must be based on performance, with recognition of the difference between ability failure and motivational failure." Did he fail because he could not or because he

would not? In general terms, under this approach to leadership, the best results are obtained when the leader:

- (1) frequently promises rewards and seldom threatens punishment when assigning tasks,
 - (2) rewards good performance, and
 - (3) punishes poor performance which resulted from poor motivation and uses punishment instructively. (See art 308.)
- e. The fifth and most important means the leader has is the trust his followers have in him, a trust built on his character and on his success in applying the techniques of leadership, including the correct application of the approaches to leadership.

3. The Participative Approach and its Means. The means that a leader has available to implement the participative approach of leadership relate mainly to his personal resources. Before operations begin, during the period leading up to the occasions when the authoritative approach is demanded, certain portions of training require an authoritative approach to instill discipline and to condition quickness of response. In a large area of training, however, where the learning process relates to technical and educational subjects, and where the personal relationships leading to trust are cemented, the participative approach is required. The means available to the leader in rendering the participative approach effective are as follows:

- a. The leader's application of the learning process and his development of his followers in their skills and knowledge requires the leader's active participation in training activities.
- b. Motivational techniques, including encouragement, persuasion, and inspiration are available to the leader, especially the awareness of men's needs, which he will utilize in motivating them toward the accomplishment of the mission.

- c. The application of techniques of interviewing and counselling, discussed fully in Chap 11 of this volume, will improve a leader's effectiveness.

310. SUMMARY

1. Three approaches to leadership have been identified, given particular titles and discussed in relationship to situations where their adoption will prove effective or ineffective. An account is given of experiments which supports the view that the leader's choice of approach is guided by the situation. Should he adopt an approach that is inappropriate, particular harm will eventually result. On the other hand, a correct choice of approach will increase his effectiveness as a leader.

2. The words "approaches to leadership" convey the idea of deliberate shift and change, as appropriate. Approaches are presented separately, for the sake of explanation, as though they were individual and distinct categories. Actually, the leader's performance will display blends of each approach, worked together as a complex and changing situation requires. The correct choice of approach improves with gain in maturity, flexibility, insight, and foresight. Each approach to leadership, demonstrated in the leader's overt behaviour, is subject to the direct influence of training, whereas his character is subject to more subtle, social influences and is therefore more resistant to influence.

3. It is in the performance of duty, especially in operations, that the leader will find the material of this chapter of benefit to him. As the leader melds his personality and his approaches to leadership in practical experience with his followers, his competence in the art of leadership will increase.

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CHAPTER 4

MOTIVATION

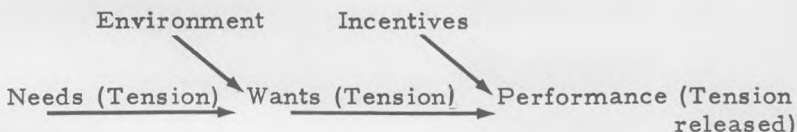
401. AIM

The aim of this chapter is to assist the leader in identifying what motivates his men and to suggest ways of providing better motivation, in order to increase the effectiveness of human resources in accomplishing the mission.

402. INTRODUCTION

1. Essential to the function of the leader is the motivation of his followers. Motivation is an individual's level of desire to perform a task as influenced by the degree to which he must satisfy his physical and mental needs. The leader should cultivate an awareness of this level of desire so that he can anticipate the response of his followers in terms of their specific needs. He should appreciate, moreover, that his own needs and personality will have their influence on his followers.

2. One of the leader's important tasks is to identify the motives of his men and activate them constructively toward task performance. Diagrammed simply, the relation of needs to performance is as follows:



Needs create tensions which are modified by the environmental factors to cause specific wants. These wants in turn are interpreted in terms of incentives to produce a response or action. It is generally accepted by behavioural scientists that people have needs which cause them to do what they do. All people have certain needs or requirements for the maintenance of physical and mental health. People are aware of their wants but are often unconsciously motivated by needs.

403. TYPES OF NEEDS

1. When attempts were made to establish which physiological needs exist universally in human beings, those found to qualify as the basic physiological needs were:

- a. hunger;
- b. thirst;
- c. sleep;
- d. waste disposal;
- e. activity; and
- f. sex.

2. Other needs which exist are derived or learned and are of a psychological (mental) nature. These are referred to as the higher needs and are:

- a. rivalry;
- b. self-esteem;
- c. sense of purpose;
- d. self-assertion;
- e. belonging; and
- f. recognition.

404. THE PRIORITY OF NEEDS

1. Recognition has been given to the fact that needs are organized on a priority basis. As basic needs become relatively satisfied, the higher needs dominate and become operative as motivators. A need priority of five levels was advanced by AH Maslow, as represented by Figure 4-1:

Basic Physiological Needs 1st	Safety Needs 2nd	Social Needs 3rd	Self-esteem Needs 4th	Self- realization Needs 5th
Hunger Thirst Sleep, etc.	Security Protection from danger	Belonging Social Activity Love	Self-respect Status Recognition	Growth Personal development Accomplishment

Figure 4-1 The Priority of Needs

2. The significance of the need levels is that they have a definite sequence of domination. The second level does not dominate until the first is relatively satisfied. The third level does not dominate until the first two levels have been reasonably satisfied, and so on up the step levels. People differ in the importance they attach to the various need satisfactions. Their needs also change with time and circumstances and are greatly influenced by their attitudes toward their peers and superiors. Therefore, a person's distribution of needs on the priority levels at one particular moment in time may adopt a profile such as illustrated in Figure 4-2:

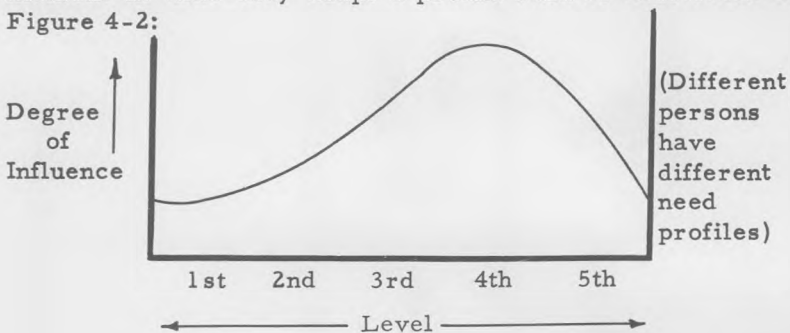


Figure 4-2 Example of a Need Profile

3. Figure 4-2 illustrates that, although all the need levels have influence upon this particular individual, the social and self-esteem needs dominate. It may be said that man's operative needs are those related to belonging and recognition. The other needs are inoperative because they are either relatively satisfied (first and second) or relatively frustrated (fifth).

4. It is worth while to remember that, as a general rule, a satisfied need is not a motivator. The leader's task is then to identify which needs are operative, and direct his attentions to these when applying incentives or administering rewards or punishment. Monetary compensation is an important means of satisfying certain needs, but beyond the subsistence level the amount of pay is not necessarily as important as non-monetary rewards. Therefore, providing more pay to a man who has dominant social needs would not give him as much satisfaction as providing him with the

social atmosphere in which he wishes to belong. This is true because money normally only helps to satisfy the first two levels and would be inoperative for this man.

5. Similarly, a leader could be wasting effort by providing for more social activity in the group if the dominant needs of his men are for esteem or self-realization. It would be more appropriate to provide his men with important and challenging tasks which might ultimately lead to such rewards as personal development or promotion, or might provide the esprit de corps which evolves from accomplishing a difficult mission.

405. THEORIES OF MOTIVATION

1. Although the concept of the priority needs is widely accepted, it does have limitations in explaining motivational phenomena. Several theories have been advanced which describe the relationship to motivation of such factors as reward, punishment, justice, group dynamics, proprietorship, and drives. One theory of special interest is that advanced by Barnes. His theory states briefly that all needs are dependent upon each other. As such they can be illustrated in the configuration of a weighing scale to demonstrate the importance of all needs being in balance. Figure 4-3 is a modified representation of Barnes' concept of the balance scale of needs.

2. Figure 4-3 is of particular value in that it demonstrates that an imbalance between self-esteem and reputation will cause an upsetting of the system. When such an upset occurs in a real situation it manifests itself in anxiety, instability, frustration, or conflict within the person. To compensate for the imbalance the person must make certain adjustments. Unfortunately the adjustments made by some persons adversely affect both their performance, and their relationships with their peers and superiors. Examples of adjustment are described in art 406.

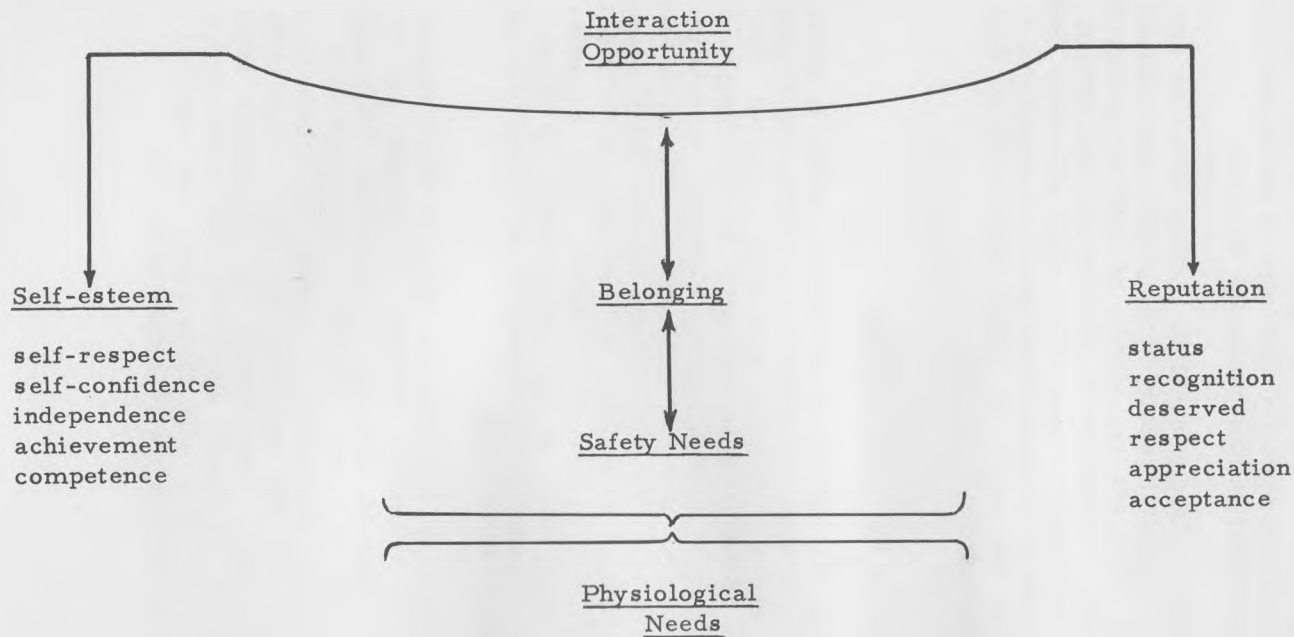


Figure 4-3 Balance Scale of Needs

406. ADJUSTIVE BEHAVIOUR

1. General. Some subordinates experience long-term difficulty in adjusting to military life. The leader must understand their needs and appreciate their problems if he is to lead effectively. Therefore, it is important to examine resultant behaviour when needs are frustrated. Adjustment refers to the satisfactory relationship of the person with his environment. This relationship is achieved only when needs are relatively satisfied. Unlike basic physiological needs, the higher needs are difficult to satisfy, since many environmental and personal factors impede satisfaction. When a person is unable to eliminate the obstacle which threatens him he will adopt some form of behaviour to minimize the obstacle. He will seek to reduce or eliminate the unpleasantness which results from frustration. There are several ways of doing this. The most common forms of adjustment are through defence mechanisms and escape mechanisms.

2. Defence Mechanisms. When the person finds he cannot eliminate frustration and cannot run away from it he may make a defensive stand by using some of the following mechanisms:

- a. Compensation. The person exercises more effort and energy to offset a real or imagined deficiency.
- b. Rationalization. The person justifies his conduct, beliefs, and sentiments by unconsciously giving reasons other than those which actually motivate him.
- c. Identification. The person attaches or associates himself with someone or something more successful than he is.
- d. Projection. The person imagines or perceives and calls attention to undesirable behaviour of others to deflect attention from his own failures, deficiencies, or shortcomings.

3. Escape Mechanisms. The person often finds he can somehow escape the situation which denies him satisfaction. If he can, his escape may take one of the following forms:

- a. Timidity. To avoid unpleasant situations the person becomes shy and retiring.
- b. Fantasy. The person retires from the hard world of reality to a dream world in which imaginary successes are easily achieved.
- c. Regression. To avoid a problem or obstacle the person retreats to an inferior or more infantile type of behaviour.
- d. Negativism. The person attempts to ignore the existence of a problem or obstacle by resorting to such reactions as stubbornness and rebellion against authority. This may serve as protection against feelings of cowardice and inadequacy.
- e. Repression. The person is often forced to fight his rage and resentment. Feelings may later erupt, triggered by some trivial incident which often has no connection with the real cause of the trouble. Not all psychologists agree that repression is an escape mechanism. However, most repression theorists avoid the issue to escape reality. Of the nine mechanisms, repression is the only one that does not reduce tension; rather it tends to increase tension.

4. Comprehension. Understanding the adjustment process is important to the leader. Firstly, it will help him to recognize those men who are experiencing frustration and conflict. Secondly, an appreciation of consequences of frustration should make him think twice before he imposes barriers to the satisfaction of higher needs.

5. Arbitrary Classification. The leader must beware of trying to label his men with the name of the types of behaviour sketched here. The new man who hangs about in the background is not necessarily indulging in either timidity or

fantasy - he may be suffering from a nagging toothache. Moreover, it must be remembered that everyone unconsciously uses some of these mechanisms from time to time. Generally, no harm results. It is only when over-indulgence is apparent that something must be done, just as it would have to be done with over-indulgence in alcohol. It is not wise for the amateur to rush in with treatment for alcoholism; neither should he attempt to treat serious behaviour problems. When serious problems are evident the man should be referred to a medical officer.

407. WHAT FOLLOWERS WANT

1. Needs are conditioned by an environment to give rise to specific wants. Wants are what followers expect from their work, and are defined as needs conditioned by a particular environment. Men can perceive their wants whereas they are often unconsciously motivated by needs. Since wants vary with the situation, differences do exist as to which wants are most significant. In general, however, some of the more common expectations of men are:

- a. good leadership;
- b. information as to what is expected of them;
- c. recognition of good performance;
- d. treatment with dignity;
- e. advancement opportunity;
- f. freedom from over-supervision;
- g. social activity;
- h. good working conditions, including pay;
- j. explanation for changes;
- k. challenging work;
- m. fair treatment; and
- n. high contribution opportunity.

2. If the leader does not provide what his men want, they will channel their energies so as to fulfil their own needs, even where this means working in opposition to the goals of the organization. In other words if they "don't like the system they will try to beat it." Should they be unable to "beat the system," then patterns of adjustive behaviour, discussed in art 406, may emerge, or applications for transfer or release may be forthcoming.

408. INCENTIVES TO PERFORMANCE

1. General. The leader has at his disposal many incentives which may enable his men to fulfil their aspirations and, at the same time, inspire them to better performance. Usually, such positive incentives as recognition and participation are used because they increase both performance and the welfare of men. At times, unfortunately, such negative incentives as fear and punishment are required to motivate behaviour. Negative incentives should be avoided whenever possible since their effects tend to be short-lived and to decrease morale. Punishment should be used as a corrective measure and not merely to impose hardship.

2. Positive Incentives. Several positive incentives are available to the leader for motivating his men to better performance. Among the more significant are the following:

- a. Promotion. The promotion of certain men under the leader depends upon whether he recommends their promotion and how high an assessment he gives them. The leader must ensure that the best men are selected for promotion by evaluating performance impartially and objectively. When followers perceive at first hand that the best performance is rewarded by promotion, they will tend to contribute their maximum efforts.
- b. Security. Most men want to feel protected from loss of job and earnings. If their welfare is properly attended to they will be free to direct their energies toward good performance.

- c. Recognition. Men should be recognized and praised for good performance. Praise, however, should be used only when it is truly deserved and when it can be given with sincerity. If praise is given too frequently it becomes a doubtful motivator.
- d. Competition. Providing various competitive opportunities can help to enhance performance. A man may compete with himself (in trying to improve his own record), with other men, or as a member of a group competing against another group. In attempting to outperform the opposition, the habit of performing better often overflows into a man's work. Overcompetition should be avoided, however, in that winning competitions may compromise the accomplishment of the mission.
- e. Knowledge of Results. If a man is informed of his progress on projects, exercises, or assessments, he will likely improve his performance, since he gains increased awareness of his weaknesses. Performance interviews are of particular value in that not only are weaknesses singled out but also concrete suggestions for improvement are made.
- f. Participation. One of the best incentives to job performance is that of encouraging participation when an opportunity arises. Participation is ideally suitable when dealing with matters pertaining to the task. The merits of participation are:
 - (1) worthwhile suggestions may be obtained,
 - (2) the men gain self-esteem in being consulted and having their opinions listened to,
 - (3) they tend to identify themselves more strongly with the job, and
 - (4) they feel a greater sense of responsibility.

The leader must realize, however, that when time is short and when solutions to problems are readily apparent, participation serves no purpose to his men or to the mission.

- g. Enthusiasm. The enthusiasm of the leader and his superiors bears a direct relationship to the motivation of subordinates. Poorly motivated leaders usually have even more poorly motivated followers. On the other hand, enthusiasm is contagious, and if the leader is keen and enthusiastic he will probably derive excellent performance from his men.
- h. Organizational Efficiency. The manner in which activities are organized at a unit can greatly influence motivation. Better motivation exists when duties are well defined for each position, lines of authority are clearly indicated, proper equipment is provided, and tasks can be completed in a steady, well-organized fashion.
- j. Delegation. Delegation of as much authority as possible to subordinates ensures that all activities are carried out effectively. Interest and initiative are stimulated through delegation. If the leader cannot organize his work so that some of it can be delegated, then subordinates will remain undeveloped and initiative will be stifled. Moreover, men will sense that they cannot be trusted and will in turn have little faith in their leader, especially when he makes a mess of larger issues through wasting time on routine work that he should have delegated.
- k. Avoiding Overcontrol. Control is the function of checking up and correcting. Control systems in an organization are set up so that a comparison can be made between what is required, and what is actually being done. Systems in use involve such activities as: setting standards; monitoring charts, network diagrams, and forms; writing reports; drawing up rosters and duty analyses;

using computers; setting examinations; performing inspections; and making decisions. One of the most valuable methods of effecting control, of course, is through direct supervision. Care must be taken, however, not to oversupervise. A leader who is constantly interrupting his subordinates to check and correct their work not only makes himself a nuisance, but also gives his men a feeling they cannot be trusted, and their self-esteem suffers. Therefore, the leader who oversupervises allows no room for initiative or development of his subordinates, wastes his own valuable time, and prevents his men from satisfying their higher needs.

- m. Job Enlargement. In several areas men are required to perform repetitive, mundane tasks day after day. Since this leads to stagnation and resentment, it would be worth while for the leader to examine the possibility of incorporating job enlargement, which helps to provide variety, interest and development through rotation of tasks or increasing the variety of tasks. Job enlargement improves motivation and performance. Precautions should be taken, however, to ensure that such action does not detract from overall performance and that those who prefer repetitive tasks, or shy away from differing sets of responsibilities, are not forced into such a programme.
- n. Development. Opportunities often exist where men can be developed through on-the-job training or special courses related to their work. Development by such means not only helps to increase motivation and performance, but also better prepares men for higher responsibilities in the future. When retirement and transfers occur, capable men must be moved into the vacated positions. An excellent way to attain competence is to take advantage of training opportunities.

- p. Proper Selection. Nothing guarantees poor performance more than having a person who hates his job. Therefore, men should be selected for jobs and assignments on the basis of their suitability in terms of qualifications and willingness. Some jobs exist which nobody wants to do ("joe-jobs"), but the leader has some degree of flexibility here in that he can first determine the necessity of such tasks, and if they must still be performed he can distribute them on an equitable basis or as a means of punishment. If a man completely dislikes his primary task and counselling does not change his attitude, the leader should recommend to his superior that transfer or release from the service be initiated.

3. Negative Incentives. Reward enables the satisfaction of a need, and punishment is the deprivation of satisfaction. People tend to be more strongly motivated by reward, or expectation of reward, than by punishment, or fear of punishment. However, a few men are encountered from time to time who are lazy, irresponsible and totally devoid of any constructive ability. These men may be experiencing an emotional disorder of some sort, but if corrective counselling fails to rehabilitate them, and they persist in committing flagrant infractions, then deservedly they should be punished. It is well worth the leader's while in cases such as these, where constant offenders do not reform and corrective counselling has no effect, to commence the "road to release" by placing such men on probation. If at the end of the probationary period they show no signs of reform, release action is taken. The need for punishment, therefore, should not be too great. Violators of regulations tend to be repetitive in their misdemeanours and, rather than waste time carrying dead weight, the better approach is to put the release process into action. This action rids the Services of poor performers and prevents their misbehaviour from reflecting badly upon the Canadian Forces.

409. THE MOTIVATION PROCESS

1. Several incentives to performance have been proposed as alternatives to guide the leader in motivating his men. To

implement many of these requires ability in communication, interviewing, counselling and performance evaluation; all of which are discussed in subsequent chapters. In addition to these, the ability to think ahead is a valuable asset. The process of motivation requires that the leader have an awareness of his own motives and those of his men so that he can determine effectively what action to take. The motivation process normally consists of creating opportunities, activating potential, removing barriers, encouraging growth, and providing guidance.

2. As a suggested procedure in motivating men:
 - a. be certain of all objectives;
 - b. realize their impact upon subordinates;
 - c. communicate the objectives;
 - d. pay attention to feedback;
 - e. integrate the interests of the men with those of the organization whenever possible;
 - f. provide all necessary conditions of support to carry out the mission; and
 - g. develop team-work by co-ordinating all efforts.

410. SUMMARY

1. The proper motivation of men is necessary to good leadership. All men have needs which are modified by the environment to create wants which can be perceived. Wants combined with incentives lead to performance. A person strives to satisfy his needs. Among these needs are:

- a. basic physiological needs (hunger, thirst, sleep, etc.);
- b. safety needs (security, protection from danger);
- c. social needs (belonging, social activity, love);

- d. self-esteem needs (self-respect, status, recognition); and
- e. self-realization needs (growth, personal development, accomplishment).

2. These needs have been advanced by Maslow as being organized on a priority basis in that higher needs cannot dominate until lower needs are relatively satisfied. Satisfied needs are not motivators. Different persons have different need profiles at different times.

3. In comparison to Maslow's concept, Barnes' theory of motivation likens the need system to a weighing scale. All needs must be balanced to avoid emotional upsets that may lead to such forms of adjustive behaviour as defence or escape mechanisms. Evidence of the existence of these mechanisms should only be used by the leader as warning signals. A serious behaviour problem should be referred to a medical officer.

4. Followers have certain wants which they perceive as a result of their needs and environment. If the leader does not provide essentially what men expect, they may work in opposition to organizational goals.

5. A leader should not be concerned with merely keeping his men happy, to the detriment of performance. The ideal situation exists when both top performance and high esprit de corps are present. Thirteen positive incentives to performance have been advanced as a useful repertoire to the leader for attaining better performance and enabling his men to satisfy their higher needs at the same time. To implement these incentives the leader is engaged in creating opportunities, activating potential, removing barriers, encouraging growth and providing guidance.

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(412 to 499 inclusive: not allocated)

CHAPTER 5

INDIVIDUAL AND GROUP BEHAVIOUR

Section 1 - General

501. AIM

The aim of this chapter is to provide the officer with a basic appreciation of human behaviour so that he may better understand himself, different individuals in his group, and the factors which affect the behaviour of a group as a whole.

502. INTRODUCTION

The leader who has a workable understanding of human behaviour is better equipped to obtain good performance and provide the opportunity for his men to satisfy their needs. He should recognize that men are influenced by their attitudes, perceptions, and individual differences. An awareness of group behaviour will assist the leader in understanding the leader-follower relationship and therefore enhance his ability to influence men.

Section 2 - The Person

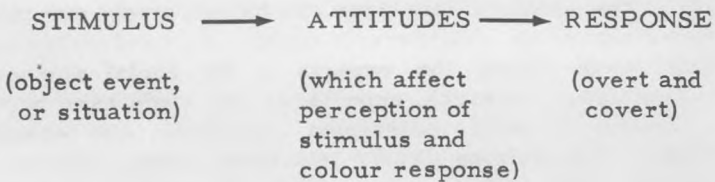
503. INDIVIDUAL BEHAVIOUR

1. The study of behaviour can be extremely complicated especially since considerable controversy and disagreement exist even among the experts in the social sciences. In recent years research, experience and study have produced a nucleus of usable principles, practices, and techniques. Rather than delving deeply into these areas, however, this chapter will include only a basic discussion of the more significant considerations of behaviour required by the leader. In Chap 4 certain aspects of individual behaviour have already been discussed. In addition to understanding man's needs there are other important considerations that will account for the way in which a man behaves.

2. Many developments in recent years have greatly modified individual behaviour. Among these are increased education, new occupations, deeper belief in the dignity of the individual, higher standard of living, increased exposure to new media of communications (especially television), and greater travel opportunities. People now see, hear, and do more in their lifetime than ever before. As a result they are better informed. Ignorance has diminished to a significant extent and thus it is more difficult to manipulate people. They are more sensitive to how they should be treated. Merely "using" men without sincere interest in their welfare will meet with resistance and indignation. Undermining a follower's self-esteem will damage superior-subordinate relationships. Men of today are also more suspicious and critical toward the motives of their superiors. They are less willing to accept direct, unexplained orders, and they seek reassurance that the purpose of a mission is not merely to assist the leader in furthering his own career at the expense of his followers' efforts.

504. ATTITUDES

1. An individual behaves in a certain manner to such stimuli as objects, events, or situations because of his attitudes regarding these stimuli. A stimulus is anything that elicits a mental or physical response in an individual. An attitude, on the other hand, is an enduring, learned predisposition to behave in a consistent way toward a stimulus, as the man perceives it. Therefore, the relationships of stimulus to response may be portrayed as follows:



Response may be favourable or unfavourable and may manifest itself overtly (openly) or covertly (hidden) or both, depending upon the individual's attitudes. An example of a combined overt and covert response is that of the man who

does what he is told, but mutters swear-words to himself while he is carrying out his task.

2. Attitudes are greatly resistant to change since they are founded on years of development and exposure to particular environment factors. Attitudes may also cause misinterpretation or induce errors in logic, due to emotional implications. A highly emotional attitude can detract from rational problem-solving and can create serious leadership difficulties.

505. PERCEPTION

Perception follows from exposure to stimuli in terms of the individual's aspirations, fears, values and expectations. When a person contemplates a certain object, event, or situation he is restricted in how much information or truth he perceives. He will see what he wants to see and hear what he wants to hear. He may only see one small aspect of a situation rather than the overall picture, depending on what he feels is important. People can differ greatly in their interpretations of the same stimulus. An example of perceptual differences is that of ink-blot tests, where people vary in their ideas as to what a certain ink-blot represents to them. Operationally, the same phenomenon can easily exist whereby men will size up a situation differently.

506. INDIVIDUAL DIFFERENCES

1. Men want to be treated fairly and recognized as individuals. In large organizations such as the Services, men too often find they are simply numbers to be shuffled around as the need arises. The leader can do much to alleviate this situation by using the technique of dealing with people as individuals.

2. Men are different in some respects and similar in others. However, a man tends to think of himself as being at least slightly different from his associates and expects to be recognized as the unique person he thinks he is. In

this manner he gains self-esteem and self-respect because he knows that people think of him in terms of the particular image he is trying to present. People differ from each other because of such factors as:

- a. upbringing;
- b. social class;
- c. cultural background;
- d. training;
- e. age;
- f. sex;
- g. race;
- h. personal problems;
- j. work problems;
- k. achievement;
- m. physical stature;
- n. intelligence;
- p. personality;
- q. heredity; and
- r. environment.

3. To find out what sort of person a man is, it might be helpful to learn the following:

- a. What is his temperament or emotional make-up - for example, is he boisterous or calm, lively or unassuming?
- b. What satisfies him at work - for example, is he looking for challenging assignments, firm direction, affable companions, good working conditions, or advancement opportunity?

- c. What are his interests outside work - for example, sports, aspirations, talents, or hobbies?
4. To derive the best results from men in terms of their individual differences, it is suggested that the leader:
- a. motivate men towards their best performance by learning what interests and satisfies them;
 - b. develop their skills and knowledge so that they can advance;
 - c. assess their work performance objectively and impartially, and render assistance to them through performance interviews when possible;
 - d. know the difference between genuine concern for followers and meddling or snooping;
 - e. take care that treating men as individuals does not cause them to feel you are playing favourites; and
 - f. be aware of men's attitudes and perceptions and take these into account in adopting the correct approach to leadership.

Section 3 - The Group

507. THE FORMAL ORGANIZATION

The formal structure of most organizations serves a useful purpose in setting forth job relations and a limited span of personal relationships. It indicates the broad, overall plan of how things should be accomplished within the various functions and levels of authority and also shows how people are linked with one another through normal channels of superior-subordinate relationships, line staff co-ordination, and a multitude of formal controls. But it does not explain very much about the day-to-day relations between the men.

508. INFORMAL GROUPS

1. In reality, people usually do not adhere closely to the formal lines of communication and authority. They in turn establish their own network of interpersonal relations. This they do for various reasons, but primarily to satisfy their social aspirations and needs. Hence, there may be considerable difference between the interpersonal relationships that do exist and those required by the formal organization.

2. The relationship which is not spelled out formally but does exist behind the scenes in every organization of any size is known as the informal group. This organization arises because of common values, attitudes, beliefs, interests, etc, and usually supplements the formal organization. The emergence of such an organization can be recalled from your own experience. The more you associate with others on and off the job the more you find yourself in their circle.

3. At first, when a man comes to a new mess, he eats alone, but little by little, as he has more in common to talk about, he naturally joins up with the gang of his choice for meals or during the coffee break. He begins to see that there are certain habits that are common to people in his section, certain routines that bring people into contact with one another, certain signals or expressions that they use in communicating one with the other. Talk about TV programmes or the stock market provides common interests for all and relief from the job routines. In addition, he notes that there are certain attitudes towards outside sections and toward people working in other branches. Certain things are accepted as right by the group, other things are wrong. He gradually adjusts himself to these informal customs which give him a sense of stability in his relationships with others in the close-knit circle. He knows where he stands with everyone.

4. Being accepted into the circle of a group can mean a great deal. Within the group men feel instinctively that they understand each other. They know what they stand for and how to behave in different circumstances. Unconsciously they come to understand the unwritten laws of the group.

5. This feeling of belonging to a closely knit work group gives men a lift in confidence and the satisfaction of being recognized among people who count with them. Day-to-day associations with friends belonging to the group gives men a sense of security that could come only from being recognized as self-respecting responsible group members. Here are friendship, security, and mutual support from the people who mean the most to them outside their immediate family and friends. They understand one another and know instinctively that they can depend upon one another if any of them, or the group, is threatened in any way.

6. Since informal groups do exist, the fundamental question is whether they are of value or are, in fact, a hindrance. The answer could be negative or affirmative, depending upon what attitude the leader takes. If the leader exploits these groups to his advantage the gains are numerous, but if he refuses to recognize their importance, a great deal of internal friction can be caused.

7. Some common characteristics of informal groups are as follows:

- a. As long as there are people in a unit, informal groups will exist. The leader can neither create nor dissolve an informal group without dispersing his followers.
- b. Informal authority is earned or given permissively by the members of the group and is more unstable than formal authority, since it is subject to the feelings of the members.
- c. Formal organizations may grow to large proportions but informal groups tend to remain small in order to operate within the limits of personal relationships. Consequently, there may be several groups in one section.

8. The leader may encounter several difficulties stemming from the existence of informal groups. Some problems are as follows:

- a. Resistance to Change. When changes are introduced people may feel that their social stability is threatened.
- b. Role Conflict. The quest for satisfaction of group needs may turn personnel away from the aims of the organization. This occurs when the man places his loyalty to the group above loyalties to the service.
- c. Rumour. The informal communication system is commonly called the "grape-vine" and rumours pass through it. False rumour may have detrimental results. To combat false rumours the leader should lose no time in setting the record straight by briefing all group members with correct information.
- d. Conformity. Within groups, pressures may be very strong to make people conform to internal codes of behaviour. These codes are called norms of behaviour. If norms are violated by certain members, the penalties imposed by the other members can be very cruel. Typical penalties are:
 - (1) ostracism,
 - (2) undermining the man's performance,
 - (3) threat of physical assault, and
 - (4) character assassination.

9. Despite the existence of such difficulties, informal groups provide official leaders with the following benefits:

- a. the enforcement of healthy norms will complement the leader's maintenance of discipline and lighten his workload;
- b. gaps in official orders may be filled;
- c. members derive satisfaction and stability;
- d. the grape-vine is a useful channel of communication, despite its undesirable features, since it is quite accurate when input is correct; and

- e. better planning on the part of the formal leader is encouraged.

10. Informal group members transmit information and ideas to each other by various means. These forms of communication are often referred to as interaction. The influence of the grape-vine is always present. The grape-vine helps to satisfy the social needs of members, and is the vehicle of rumour. The grape-vine has the following significant properties:

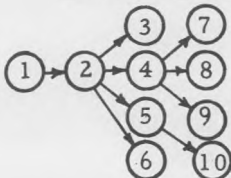
- a. it does not follow official communication channels;
- b. communications may pass through at a fast pace;
- c. it is a potential threat to security;
- d. outsiders may be part of the system (e.g., men's wives);
- e. access to it will provide an insight to men's attitudes; and
- f. transmission can be very accurate, the grape-vine tends to be a cluster-chain rather than a long chain. Illustrations of the nature of these chains are:

Long Chain



(message repeated 9 times)

Cluster-Chain



(message repeated only 3 times)

509. STRUCTURES OF GROUPS

1. Men may belong to several groups at one time, but in every group each man has a position and at least one role. A man's position is established as a result of the group's structuring itself to achieve stability. Once a group has been together for a suitable length of time, informal leaders emerge. Other members will occupy positions beneath the informal leader in relation to their faithfulness to the group's norms. The informal leader is the most faithful to norms, often because he sets the norms. The lowest member in the "pecking order" tends to be the least faithful to norms.

2. Members in a group will emerge:

- a. as the informal leader - one who earns or is accorded his position by other members;
- b. as one of the core of regulars - those who are generally accepted as "one of the gang";
- c. as a deviant - one who challenges and deviates from group norms and who gains only partial acceptance by the regulars; or
- d. as an isolate - one who either chooses to remain apart from the group or is rejected by the regulars because he appears different from them, or does not conform to the norms, e.g., he works harder than the group feels he should.

3. Determinants of group position and membership category are as follows:

- a. Faithfulness to norms.
- b. Leadership attributes.
- c. Status factors, i.e., characteristics of personal worth as perceived by group members. Typical status factors are:

(1) age,

- (2) education,
- (3) appointment,
- (4) service seniority,
- (5) section seniority,
- (6) physical stature,
- (7) military rank,
- (8) decorations,
- (9) trade, and
- (10) special talents, e.g., musician, football star.

- d. Congruency, i.e., the degree to which status factors are in line. The opposite of congruency is termed ambiguity. An ambiguous person, for example, might be one who is high in rank and education but low in section seniority and age.
- e. Personality, particularly with regard to sociability.
- f. Participation, i.e., the extent to which a person engages in group activities.

4. The more suitable the determinants are, the more likely a man will be accepted as a regular. People with high status tend to have high group position, provided they are also congruent. Those who are ambiguous (status factors out of line) tend to be deviants or isolates, often because other members are uncertain as to how they should behave towards the ambiguity. For example, should they look up to him because of his high status factors, or look down upon him because of his low factors?

5. Other important variables in the structures of groups are:

- a. cohesiveness - the degree to which members favourably identify themselves with the group;
 - b. size - the smaller the group the greater will be the identification with it;
 - c. interaction - if interaction is high the members will have more favourable attitudes toward each other;
 - d. density (physical closeness) - greater identity exists in dense groups;
 - e. natural or forced - forced group provides less reward;
 - f. stability - the degree of internal social changes;
 - g. formality - the longer a group is together, the more rules will be in effect;
 - h. homogeneity - the degree to which status factors are in line;
 - j. potency - the power of the group in achieving its own goals; and
 - k. autonomy - the degree of freedom from outside influence.
6. Needs are more likely to be satisfied if the group has cohesion, density, and a natural origin, and if a suitable degree of inter-action, stability, formality, homogeneity, potency, and autonomy exist. Although the formal leader does not control all of these variables, knowledge of them can be helpful when analysing problems within the group and when making decisions that concern the group.
7. Identifying the informal leader assists the official leader in influencing his men since enlisting the full support of the informal leader will ensure general support from the others. On the other hand, if the leader alienates himself from the informal leader he may find himself in difficulties.

The leader could well be wasting his time by attempting to persuade a group member other than the informal leader, when the requirement for group persuasion arises. Caution should be exercised in delegating formal authority to the informal leader because informal leaders are not necessarily good formal leaders, especially when their official responsibilities conflict with the interests of the group.

510. RESISTANCE TO CHANGE

1. Of the four areas of difficulty, listed in art 508, resistance to change can cause the most problems to the leader. There is a natural tendency for people to resist change because it represents a threat to the stability of the group. Change should be thought of as having both technical and social aspects. Change may be technically sound but may create social problems associated with it. What people usually resist is not the technical change but the social change which threatens their human relationships. People must be motivated to accept change.

2. In most cases, resistance is not caused by the wilful desire to obstruct, but by feelings of insecurity. A man learns to do his work, to pace himself, and to meet special situations. He knows what to expect from his superior and his peers. When there is a change, however, he loses sight of some of these landmarks. Not all changes meet strong resistance, of course, so the leader should not adopt the pessimistic attitude of always expecting resistance. He would be better advised to remember that resistance is only a possibility. When it does occur, resistance should be used as a warning signal that something has gone wrong in his own planning. However, resistance should not be interpreted as a signal to meet force with force.

3. Whether changes are small, affecting only one person, or large, involving complete reorganization of the group, programmes will be smoother and earn better acceptance if these suggested activities are carried out:

- a. Planning. In planning answer the questions WHAT, WHEN, WHERE, WHY, HOW, and WHO. Ensure that compliance is reasonable and possible not only technically, but also socially.

- b. Explanation. Inform the men, preferably by way of a briefing with all present, the reasons for the change. Any advantages associated with the change should be pointed out. The difficulties should also be explained since some changes are not easily made. Installing new systems may call for difficult adjustments, both physical and mental. If they are told a job is easy and find it hard, they will become resentful and discouraged. On the other hand, if they are told that some difficulties may be encountered at first, they will adjust and learn faster. Accurate information given out early will forestall false rumours and prevent disruptive attitudes.
- c. Encouraging Participation. The men should be allowed to contribute their suggestions when the occasion warrants participation. When an important change is to be made that affects the men, consulting them before making the final decision could well result in co-operation, identification with the programme, and a strong sense of responsibility to achieve its success.
- d. Allowing Time for Acceptance. Changes that are sudden arouse the strongest fears. If it can be done, it is worth slowing down an important project to allow time for preparing the men for change. The change will look less troublesome after it has been considered for a period. Eventually the work will be performed more efficiently, new associations will be formed, and each person will regain stability. Until then the leader should allow for expressions of tension and disagreement.
- e. Following-up. Spot checks should be made while the programme is being carried out. If anything has gone wrong the situation can be corrected.
- f. Evaluation. Results should be evaluated through the observation of progress and feedback. This will assist in determining any further action, assist the leader in appraising his own ability, and help him to understand the reactions of his men.

511. SUMMARY

1. The discussion of individual behaviour has dealt with attitudes, perceptions, and individual differences. Attitudes are enduring, learned predispositions to behave in a consistent way towards a stimulus. Perception is an individual's interpretation of stimuli. The interpretation may be correct or incorrect; sufficient or insufficient. Individual differences require the leader to deal with people as individuals. The leader must get to know his men so that he can adopt the best approach in dealing with certain persons. In doing so, however, the leader must avoid meddling and over-supervising. He must be doubly sure that his men are given no impression that he is playing favourites.

2. Within the formal organization many groups exist informally. These can strongly influence the accomplishment of a mission. The existence of informal groups has its areas of difficulty accompanied by certain potential benefits to the leader. Within these groups men will structure themselves so that each person emerges in one of the membership categories which are: informal leader, core of regulars, deviants, and isolates. Group position and membership categories are determined by faithfulness to norms, leadership attributes, status factors, congruency, personality, and degree of participation in group activity. Several variables in group structures determine the degree of satisfaction members will attain. The most serious area of difficulty is that of resistance to change. Guide lines for avoiding resistance have been advanced.

3. The formal leader must accept the fact that informal groups do exist. Unless the leader places all his men in solitary confinement, men will arrange themselves into structured groups. Therefore, the leader should consider their influence when taking action. Identifying the men fitting into each category and studying the variables of the group structures will assist the leader in understanding his men; by doing so, he can keep the formal organization from disrupting the informal, but still keep the informal secondary to the formal. Whenever possible the leader should integrate the interests of both the formal and informal organizations in order to utilize his human resources to the fullest extent.

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CHAPTER 6

SITUATIONAL FACTORS

601. AIM

The aim of this chapter is to explain the close inter-relationship between the leader and follower on the one hand and the situational factors on the other.

602. INTRODUCTION

The situational factors are comprised of: the environment; the situation; and the organizational climate. They will be discussed in this order. These situational factors must always be considered by a leader. Whatever the relationship between the leader and follower, the effectiveness of the leader's actions in influencing others towards the achievement of an objective will always be affected to some degree by the situational factors. The importance of fully understanding the situation cannot be overstressed. Sir Winston Churchill, one of the world's most effective and successful leaders, said:

"The success of a commander does not arise from the following of rules or models. It consists in an absolutely new comprehension of the dominant facts of the situation at the time, and all the forces at work. Every great operation of war is unique. What is wanted is a profound appreciation of the actual event. There is no surer road to disaster than to imitate the plans of bygone heroes and to fit them to novel situations."

603. THE ENVIRONMENT

1. The environment within which the leader and follower must operate may be defined as the sum of the external conditions and factors potentially capable of affecting a person. The environment may be strange or familiar depending upon; the service experience the follower has; how long the unit has been in a particular locale; and so on. The

raw recruit finds most environments strange and difficult while an experienced serviceman understands and accepts the customs, traditions, discipline, etc, as part of his way of life. Leaders must remember that environments, past and present, combine to affect a man's morale, confidence, discipline, and esprit de corps and be aware that environment is often a factor in their favour. The environment, as opposed to the situation, has about it a certain quality of permanency, and generally tends to change relatively slowly or infrequently. For a predetermined length of time, the environment outlined in the following examples will be relatively stable and predictable:

- a. The sailor at sea in his ship will remain in his particular environment for many weeks.
- b. The soldier in action is likely to remain in his operational environment for extensive periods.
- c. The aircrew flying their aircraft, it is true, do not remain in their airborne environment for extensive periods, but there is nevertheless a certain stability.

604. THE SITUATION

1. The situation may be defined as the combination of circumstances affecting a person and in contrast with environment it has about it a temporary nature.

2. The circumstances affecting persons are constantly changing in one aspect or another thus changing the situation often quite unpredictably. As these changes occur so do the examples cited in article 603

- a. While the environment of the sailor will remain unchanged at sea, the situation changes hourly. For instance, such circumstances, as whether the sailor is working in one of varying degrees of action readiness, the effects of weather, and changes in the ship's operational function, change the situation for him.

- b. The soldier on the battle field will find that, while his environment remains unchanged, his situation changes with distressing frequency. The very fact of his increasing fatigue and the actions of his comrades change the situation.
- c. For the aircrew flying a large transport aircraft across the Atlantic the situation changes with the passing of time. Fuel remaining decreases, distance to destination decreases, and action to be taken in the event of an emergency, often predicated on geographical position and fuel state, will change with the progress of the aircraft. With the variety of personalities in a group, the differing environments, and an everchanging situation, the permutation of problems and difficulties to be faced by a leader can reach alarming proportions.

605. THE ORGANIZATIONAL CLIMATE

1. The organizational climate may be defined as the attitude or atmosphere of the group reflected in the manner of interactions between members of the group, including the leader. Just as a leader always considers the climatic conditions when planning a campaign, so the good leader must consider the social climate or atmosphere of his group before taking action to influence their behaviour towards the attainment of an objective. The organizational climate within any group will vary according to the influence of many factors, not the least of which is the kind of organization within which the group must operate, and is to an organization what the personality is to a person. The organizational climate has been said to closely parallel the type of leadership offered a group by its leader, i.e., an authoritative leader would form an authoritative climate. There is more to it than that however; the basic framework within which the organizational climate develops is the organization itself.

2. The Canadian Forces are organized as a bureaucracy in that they are directed by a department of the government which is staffed by appointed, rather than

elected leaders, dependent upon and responsible to the government. The organization is hierarchical with both staff, line, and line staff and with leaders and followers arranged by rank, each subordinate to the one above. The Canadian Forces, however, are bureaucratic only in the best sense of the word. The leader who relies upon his appointment as a leader or who fails to interpret regulations intelligently and merely rules as a bureaucrat "by the book" is failing as a military leader. Rules and regulations are never so embracing or precise as to cover every possible contingency and leaders must be fully prepared to solve problems by intelligent appraisal of the situation followed by responsible decisions.

3. The organizational climate is influenced by the attitude of the leader, the attitudes of the follower, the situation, and the environment. Each of these factors in turn is affected by the others. All men are different, situations change frequently, and a good leader must recognize that his group is unique in many aspects. A leader must govern his actions accordingly, retaining at all times that vital characteristic of successful leadership - flexibility of mind.

606. ENVIRONMENTS OF THE SERVICES

1. Environments within the Canadian Forces are many and varied, and have a substantial effect on the climate within any group. A leader must adopt that approach to leadership which suits the environment in which he functions. For instance the leader in the Canadian Forces possesses a decided advantage over military leaders in many other countries, because all his followers are volunteers. He may, however, face a comparative disadvantage when he must operate in foreign theatres of war under conditions of privation, which to the enemy are everyday living conditions. Choice of approach to leadership must consider all situational factors. A single approach to leadership based solely on personality traits would probably be inadequate for most situations. The environment of the battlefield, for example, normally calls for decisive and authoritative leadership; by contrast, the group that is carrying out highly technical and complex tasks far behind the battle lines may require a

leader to exercise a participative approach. Again, a leader directing some technical maintenance task away from enemy action might find the free-rein approach most effective, whereas the authoritative style could be incongruous.

2. Occasionally, the environment of the individual, as opposed to the group, must be considered. For instance, the pilot of a single-seat fighter aircraft has as his environment an aeroplane in the sky; the sniper has his rifle in an isolated almost personal war; the diver has his suit in the depths of the ocean. All these men are subject to accompanying hazards, which the leader must consider.

607. THE SITUATIONS OF THE SERVICES

1. The ever-changing situation is a feature of military leadership which cannot be over-emphasized. Whatever the environment, the situation must be expected to change without warning. A change in situation will call for a rapid readjustment of thinking and behaviour, the speed of which may determine the success or failure of the unit in accomplishing the objective. In battle, the situation may change rapidly and the leader is required to constantly reassess the situation and take corrective action so as to ensure accomplishment of the mission. The captain of a ship engaged with an enemy may appear to be the victor one moment, only to have the situation completely reversed the next by an accurate torpedo. Even those groups engaged in routine and monotonous tasks may have their situations changed abruptly by an HQ directive for double production in a time of emergency. The leader who adopts a style of leadership for one particular environment and situation must never become complacent.

2. A leader must be concerned not only with the present but also with the future. Anticipation of changes in the situation affecting the group will give immeasurable advantage to the leader in his adjustments to meet these changes. During war, all other things being equal, victory will go to the country with leaders who not only excel in the present, but also have the vision and foresight that permits them to adjust rapidly to the future.

608. THE ORGANIZATIONAL CLIMATE WITHIN
THE SERVICES

1. The hierarchical type of organization used by Canada's Forces is also used extensively by industry; normally however, it is not as rigidly structured. The military society has, over the years, developed its own special form of society and this society respects, supports, and strengthens the hierarchical structure of the Services itself. Customs and traditions are part of the everyday life of the service officer and they exert a great influence on his personal behaviour. Activities which may at first seem strange to the newcomer become second nature to him within a short period of time.

2. To say that one particular social or organizational climate is typical of the Canadian Forces is impossible since the climate is affected directly by the personalities and behaviours of both leaders and followers. However, some of the constant factors which may be expected to influence the organizational climate are:

- a. respect for authority;
- b. professionalism;
- c. punctuality;
- d. co-operation;
- e. initiative;
- f. loyalty;
- g. self-discipline; and
- h. reliability.

It is obvious that this list reflects many of those factors which training endeavours to instil in the military man. That these qualities are reflected in the climate of a group indicates successful basic training which has been reinforced by daily experiences within the military society.

The leader, when considering the situational factors, may generally rest assured that his followers, being members of this military society, will possess most of the above qualities. He can be almost certain that his men will follow his command. The true test is the effectiveness of the group over extended periods in times of stress or danger.

609. INFLUENCE OF THE LEADER

1. By virtue of control, authority, and responsibility the leader is the keystone in any organization. Theoretically the behaviour of the leader is reflected in the organizational climate of the group. If the leader is authoritative by nature, the climate will reflect this; if he is constantly evading his responsibilities this will be reflected by a lack of any sense of urgency in the group. No one will deny that success breeds success and this applies particularly to the military unit. A successful unit displays all the qualities required of a group to successfully achieve further objectives. A leader who is repeatedly successful quickly gains a reputation which is in turn assumed by the whole unit, for the leader is associated with the group. Belonging to the successful group becomes a kind of status symbol and breeds high morale and esprit de corps.

2. A group which fails in a task may unfortunately lose morale, and faith may also be lost in the leader. Once a leader loses the co-operation and voluntary followership of his group, his approach to leadership must be aimed at re-establishing group morale. Would-be leaders must never forget that the behaviour of the leader and the group are inextricably interrelated, the one affecting the other to a highly significant degree. Successful leaders must be fully aware that their every action towards their followers may have far reaching repercussions upon the organizational climate of their unit.

610. INFLUENCE OF THE FOLLOWER

1. It is important to understand that, while a group is a single entity in one sense, it is nevertheless composed of

several or many persons. Each of these persons has his own beliefs, his own worries, his own ideas, and so on. The effect of a leader's actions upon the organizational climate can be tremendous; so also may the actions of the individual followers comprising the group. The trouble-maker or "barrack-room lawyer" can quickly stir up trouble with false or imagined grievances. His apparent knowledge of command and discipline may establish him as an emergent leader who will challenge the appointed leader. Morale may be destroyed, loyalty to the leader damaged, and co-operation within the group disrupted. To the extent that any person can influence the behaviour of the rest of the group, so too will the climate be affected.

2. This need not be detrimental to the group for members can be motivated towards improving the group climate. Leaders should be prepared to use members of the group to stimulate or improve organizational climates. Moving an experienced soldier into a group of inexperienced men can have an ultimately beneficial effect on the group. Since the behaviour of the followers, both as a group and as individuals directly influences the climate of a group, it strongly behooves all leaders to be fully aware of this fact. The interrelationship of the leader, the group, and the organizational climate gives added impetus to one of the basic principles for the would-be leader: "Know yourself, know your men."

611. FACTORS INFLUENCING THE ORGANIZATIONAL CLIMATE

1. Size. The size of a unit will often influence the degree of formality between leader and followers. Small organizations generally tend to be less rank conscious, and relationships between group members become quite informal. As organizations become larger there is a marked tendency towards a loss of close person-to-person working relationships. Generally speaking, the larger the unit becomes the more it tends to rely on formal and regulated operating procedures. A disadvantage affecting most large units is the need for specialization, and the inherent tendency of men to work at cross purposes, with the

resultant failure to share common goals. The larger a unit becomes, the more vulnerable it is to bad organizational climate unless adequate safeguards are built into the structure of the organization by its leaders. Such safeguards are those of: clearly defining duties and responsibilities for each position; clearly indicating lines of authority; providing the proper equipment and working conditions; and ensuring that work can be completed in a step-by-step, well-organized manner.

2. Structure. The structure of a unit may also affect the organizational climate of a group. Structure and size are closely related; the larger the group the more complicated the structure is likely to become. There is a danger in a large highly centralized structure that leaders and followers may find themselves performing tasks for which they can see no reason and with which they fail to identify themselves. A sense of redundancy or the feeling that work is being made to keep people busy is most detrimental to group morale and climate. Decentralization and increased delegation of authority may solve this problem. Inefficiency can arise from overstaffing and "make work" programmes as quickly as it can from understaffing and overwork.

3. Group Role. The role of the group will have a definite effect on the organizational climate. The inflexible leader who is unable to adjust his approach to suit the role of his unit and to operate with minimum of tension can hope to be successful only in those fields of operation where his personality matches the situation. Such a man is unlikely to advance as an officer when his future duties may include peace-keeper, magistrate, and diplomat, as well as a leader in battle.

4. Communications. Good interpersonal communications are essential if misunderstandings are to be avoided. Poor communications will cloud the issue; they might also be said to cloud the climate; and more than anything else, can make a difficult task impossible. Uncertainty, confusion, or plain lack of information all lead inevitably to a poor organizational climate. Communications to, from, and within the group are essential to a good organizational climate.

5. Unit Goals. The goals of the unit will influence the climate of a group. The overall goal in time of war is to defeat the enemy; the secondary goals must clearly stand as means to this end. The goals of the followers should not conflict with group goals since the resultant tension will cause a deterioration of group climate. During wartime there is no doubt that followers generally have the same goals as the designated group goal. In peacetime, this is not always so and members of a group, responding both to their own and group goals, wish to withdraw from the group if these goals conflict. The follower perceives that the group goals will not change and sees withdrawal from the group as the only way to reduce his inner conflict. In such situations the leader must influence his followers, through the participative approach to leadership, to adopt the goals of the group and place service before self. Only by his doing this will the quality of the organizational climate be preserved and improved.

612. MEASUREMENT OF THE ORGANIZATIONAL CLIMATE

The organizational climate defies precise definitions; it also is very difficult to measure. There are, however, several means which will aid the leader in assessing the climate within his group. The more tangible indicators are productivity, requests for transfer or release, the desire to wear unit badges, size of sick parades, discipline violations, and so on. These indications are discussed further in the Chap 8. The less tangible factors are morale and loyalty to the group, or group cohesiveness. Good morale and strong group cohesiveness generally are positive indicators of a healthy organizational climate. Unfortunately, measuring these particular qualities is a challenge in itself. Only by knowing his group and being a member of the group can a leader hope to measure the intangible qualities which help to create a good organizational climate and lead to the maximum performance and satisfaction of the group.

613. SUMMARY

The "leader-follower-situation" approach to leadership has shifted the emphasis from being solely on the

leader himself towards equal consideration of the three factors. Leadership is an art which can be taught to a limited extent. It is not the exclusive domain of those born in the upper strata of society. An understanding of the follower and the situation is essential to the practice of military leadership. The follower and the leader both react to the situational factors and in turn have their own influence upon these situational factors. The inter-relationship of "leader-follower-situation" is a real and vital fact of life which the leader must recognize. The leader who relies solely upon his personality and refuses to learn the tools of his trade or to strive for an awareness of the situational factors is doomed to failure. As a member of the corps of officers the leader must be professional in his approach to leadership.

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CHAPTER 7

DISCIPLINE

701. AIM

The aim of this chapter is to discuss the factors upon which service discipline depends, the progression from imposed to self-discipline and to understanding of a military code of conduct so necessary in the unique social environment known as "the military way of life".

702. INTRODUCTION

1. The military way of life demands full time dedication to the service and its requirements. It is necessary that a member of the services train himself to have the attitude or state of mind which will prepare him for the demands of combat. In this way, he directly associates and supports the aim of the Services which is to maintain a state of combat readiness at all times. This code of conduct demands that an officer or man must be prepared to so condition himself that he will immediately obey an order even if it may result in his injury or death; the ultimate test that officers and men in the Services must be prepared to face. This code of conduct is firmly based on the code of service discipline which has to some minds become synonymous with enforced control and corrective punishment. This is only one side of the coin; discipline also includes justice, training and morale. The subject will be discussed under:

- a. the factors upon which discipline is based;
- b. the progression from imposed to self-discipline;
- c. the need for discipline within any military sphere of activity; and
- d. guide to effective discipline.

2. The word discipline springs from the word disciple, which, in a biblical sense means a willing follower. To the

average reader "discipline" carries with it the connotation of severity or an unreasonable curtailment of freedom. This inaccurate concept has resulted from the fact that human beings are less than perfect, they are apt to err, and penalties are required.

703. FACTORS UPON WHICH DISCIPLINE IS BASED

1. Discipline Training. Discipline is defined as "mental and moral training" or "a system of rules for conduct". Either definition is apt for the military code of discipline, since our discipline training is, in fact, mental and moral training towards voluntary and swift compliance with a system of rules for behaviour. The implication is that discipline is a matter of persuasion rather than force, that it is an attitude to be encouraged by precept and systematic effort, and that it involves the conscience of the person who conforms to it. In other words he submits because he wants to. Such compliance may be against his personal and his selfish desires, but his training enables him to put what he knows to be his duty before his inclinations. The basis of discipline training is the imposed discipline that the new recruit receives in his first few months in the Services. Throughout basic training the recruit is taught behaviour patterns which conform to the service code of discipline and customs and traditions of the service. He is taught to obey commands on the parade ground, to work as a member of a team, to dress smartly, to be alert, to show initiative and, ultimately, to perform effectively on his own, guided by his own judgement and self-discipline.

2. Self-Discipline. Self-discipline will vary considerably from man to man. Early environment, such as parental influence and school background will determine whether a man is responsive to discipline or resistive under it. Normally in any large group there will be a resistive minority, and to motivate this minority toward more acceptable attitudes and behaviour, a system of punishment is necessary. Man himself has natural rights derived from the law of mankind and from the natural law; this is to say, that somehow man has developed a moral sense, has always behaved in an organized way, and thus submits to laws and the power to enforce them. The tool created for the purpose

of developing regulations and confirming natural law is the state. One of the laws is that of contract which establishes the right of the leaders to command and the duty of the subordinates to obey. The subordinates have the power to disobey but the broad penalties of the orders generally prove sufficient, along with the natural conscience of the man, to achieve obedience. It is well known that the restraints of conscience vary with the person but even the most resistive, once he has accepted the legality of the situation, must feel the gnawing of his own conscience at the moment of decision. Because of the varying and possibly limiting definitions of "self" a more accurate description of this quality is "individual discipline". As "self-discipline" is a widely used and accepted term, it is retained in this text.

3. Obedience and Habit. The requirement of trained obedience demands both mental and a physical effort. It consists in cultivating the necessary mental alertness so that the purport of an order can be grasped and the requisite mental and physical reaction obtained to ensure that the order is carried out with dispatch. By making these conditions habitual, the habit of obedience is established. In difficulty and danger men always tend to act in accordance with a pre-established drill and therefore, if attention to duty and smart execution of orders are habitual in normal circumstances, men will act in the same way in times of stress. Hence the aim must be to ingrain these habits thoroughly.

4. Group Discipline. Warmth of friendship and pride of joint accomplishment give group members a feeling of belonging which directly affects group solidarity which means the healthy, enduring relationships within a group. A man joining a group will be subjected to rules and behaviour patterns of the group and to be accepted and effective he must comply. In a group where the individual discipline is high the objectives of the group will be more readily attained. In other words, the group member becomes a willing follower of the group's objective. For example, General Omar Bradley said, "It was the discipline of the Coldstream Guards that saved the British Army from annihilation at Dunkirk." He didn't mean that these soldiers, whose famous rearguard action made the escape from the

beaches possible, fought because they were afraid of punishment or that they were unthinking robots automatically responding to heavy-handed authority. When General Bradley called the Coldstream Guards "disciplined", he paid them the highest compliment. He meant that they were perfectly trained for the job assigned to them, that they took pride in doing that job, and that their confidence in their officers and each other gave them the determination to do an almost impossible task.

704. THE PROGRESSION FROM IMPOSED TO SELF-DISCIPLINE

1. The requirement for trained obedience in the military is self-evident. When a man leaves basic training he has acquired the necessary reaction to imposed discipline and in the main this necessary reaction is based upon and is an extension of his early environmental experiences such as parental influence, social status and schooling. The leader must assist the man in his transition from an environment of imposed discipline to an environment of self-discipline; that is, leaving basic training and joining his first active military unit. In his assistance the leader must ensure that he interprets the regulations consistently and fairly. When a man resists the progression from imposed to self-discipline the leader must find the reason for this resistance.

2. Initially, the leader must discipline and counsel; however, when resistance continues he must resort to the penalties prescribed by the orders. He must be aware that repeated offences by a man indicate to some degree a failure in the leadership of his unit and therefore should concentrate on the preventive rather than the remedial. The real test, both of the soundness of basic training and of the leader's capacity to maintain and extend the principles then taught, comes when men join their first military unit. They have then left the somewhat artificial atmosphere of the training establishments and are abruptly brought face to face with the life and work of a fighting service as it really is. The leader's responsibility at this stage is a heavy one and to a large extent his success in this area will be reflected by the degree of self-discipline of his men.

3. Constant attention to teaching, motivating, and training of the man, along with the influences of environment, customs, and traditions, will mold all except the intractable into a personality of resilient physical vitality and confidence of personal ability. This self-reliant, self-discipline, well trained man is the product of creative training.

705. THE NEED FOR DISCIPLINE IN THE MILITARY SPHERE

The requirement for trained obedience demands both a mental and physical readiness, for in times of stress it is essential that the orders be clearly understood and carried out with the utmost dispatch. Vacillation or disputes will result in chaos and disorder. The habit of obedience and self-discipline which results from sound training is not only essential in the execution of orders but it also often spells the difference between courage and cowardice. When faced with danger man is afraid, and often tends towards panic and clouded reasoning. "Habit is second nature" and in danger men must act in accordance with a pre-established drill. For example the pilot of an aircraft experiencing an engine fire has no time to waste on panic or unsound reasoning. His actions must be those most likely to preserve the safety of the aircraft and its passengers. He must immediately and automatically proceed with the pre-established drill for fire in the air. Professional knowledge and self-discipline will prevent aggravation of the situation and probably eliminate the crisis.

706. GUIDE TO EFFECTIVE DISCIPLINE

1. Understanding. Understand your disciplinary responsibilities. The leader earns the respect of his men mainly through his example, judgement, fairness and knowledge of the task or mission. His decisions will be trusted once his men have learned from experience serving under him that he knows his business. This kind of leader realizes that being liked is not a sure road to success but that the esteem of men, earned through leadership performance, is the best means of assuring the individual discipline of his men.

2. Standards. Insist on high standards of performance. The man who does a below average job and gets by with it has little incentive to do a better one and in fact his performance will deteriorate.

3. Maintenance of Communications. Maintain effective communication. The day a man joins your unit start making him a part of your operations. Explain what is expected of him and when his performance does not measure up tell him so and explain why. Be sure he understands the rules of the unit and the reasons for them. Encourage men to suggest ways and means to improve not only their own performance but the efficiency and effectiveness of the unit.

4. Enforcement. Enforce discipline fairly. Don't close your eyes to any lapse in discipline which should be checked immediately but when advisable, wait before taking action. A good leader sees that all orders apply equally to all men - he has no favourites. When there is an offence against discipline - a broken regulation, an inferior performance - he quickly takes steps to get all the facts. This includes listening to the man's story before making any decision. The leader should point out men's faults when they occur, but when this approach fails he should base his action on the degree of seriousness of the offence, the circumstances, and the record of the offender. He should try always to find the fact behind the act because, if he can discover the reason for a man's attitude or what caused him to break an order, he will be better able to give constructive advice which helps to build good discipline. For example, when a leader is confronted with a breach of orders, such as smoking in a prohibited area, he must give an authoritative order to extinguish the smoking material, then he should explain the necessity for rigid adherence to the posted orders. He could, for example, point out that a fire caused by careless smoking in this particular area would affect the efficiency of the particular military unit and could cause heavy loss of life and extensive material damage. In this approach the leader is far more likely to get a substantially corrective message across which will prove most fruitful in the majority of minor offences. When repeated offences are concerned and the leader has passed through the correction and explanation approach phase, then of course

he has no alternative than to initiate the penalties of the orders. A concerted breach of discipline by a number of men is, of course, quite another matter. Though every leader must devoutly hope that he will never be involved in such an outbreak, he should not shut his eyes to the possibility. He should study the causes of past incidents in history and at least make himself informed on the subject. Again as in most breaches of discipline it reflects on the leadership, and a leader who really understands his men and has won their confidence will always become aware of the existence of a grievance long before his subordinates are driven to any concerted breach of discipline.

5. Personal Example. The leader must set the pace for discipline. Discipline begins with the leader himself, for without self-discipline he cannot expect discipline in his men. The disciplined leader has planned and organized his task or mission; he knows what he wants done and how. There is no lost motion, no indecision. Such a leader realizes that effective leadership is based on personal consistency. The standards he requires of his men do not go up and down like an elevator, according to his mood. Pressure for top performance is steady and orders are always enforced with appropriate firmness. This kind of leader asks much of his men and he gets it; the reason - he asks more of himself; his method - Discipline.

707. SUMMARY

1. Having regard to the foregoing and with reference to Chap 3, the effect on discipline of the two broad approaches of leadership can now be examined. Obviously, the authoritative approach is the best initial approach to cultivating the necessary mental alertness to enable an order to be carried out immediately. This then is the appropriate leadership approach to the recruit for specific phases of his basic training, e.g., parade ground drill.

2. Once the recruit has acquired the capability to react instantaneously to an order and this has become a habit, a development gradually takes place and is manifested by self-discipline. At this particular stage of training the participative style of leadership will become effective.

3. The adoption of the participative approach to leadership on a recruit is likely to fail if he has not been exposed to authoritative leadership which has developed his self-discipline. The second phase can come into effect only when the conditioning phase of the first has been successfully completed and the habit of discipline is strong.

4. Discipline manifests itself in prompt and willing response to orders and command and to situations requiring individual or group action.

5. Morale is discussed in Chap 8. Morale manifests itself in cheerful acceptance of prevailing conditions, enthusiasm for the assigned task, confidence in leadership, and harmonious relationships.

6. It is evident that discipline and morale have substantial influence upon each other and to some extent overlap. To the man whose morale is high the demands of discipline seem reasonable and natural and he takes pleasure in doing a good job. When morale is low, duty becomes irksome; the man has a sense of compulsion, and he puts forth only a minimum effort. Conversely, in a well-disciplined group, men accept necessary burdens and privations without undue loss of morale; whereas in an undisciplined group there will be selfishness, captious complaints, and discord.

7. In the final analysis, panic which creates confusion and chaos can best be prevented and overcome by the exercise of discipline of the highest order.

8. The following quotation from "The Art of Leadership" by Captain S.W. Roskill RN is an appropriate ending for Chap 7:

"The common denominator in all outbreaks of indiscipline, apart from those which had their origin in pay or food, has been the sheer stupidity, unimaginativeness or wanton ignorance on the part of the leaders."

708. REFERENCES AND SUPPLEMENTARY READING

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(709 to 799 inclusive: not allocated)

CHAPTER 8

MORALE AND ESPRIT DE CORPS

801. AIM

The aim of this chapter is to discuss the complex of attitudes by which men respond to various circumstances of their service life, the generic or comprehensive term being morale, which directly affects the fighting efficiency of the military unit. The chapter will also discuss esprit de corps as it pertains to the military unit and as it affects the pursuit of the aim.

802. INTRODUCTION

The young officer must consider the complex of attitudes which constitute morale and know how this complex affects the attitude of a man toward his duties and his way of life. In this way of life is included not only battle morale but also the preparation for battle which is the primary purpose of peacetime armed forces. By considering how these different attitudes may be developed and influenced, it is possible to make a systematic and fruitful effort to build and maintain morale. Obviously group stability and esprit de corps are strongly affected by individual morale and it would be unusual to find high esprit de corps in a group made up of persons having low morale. In the same way, because the bulk of the men in a unit display good morale, it does not mean that the morale of every single man is good. Further, if persons of low morale are overlooked, their attitudes may influence and impair the morale of other men and the esprit de corps of the whole military unit. Pride in the military unit is the essence of esprit de corps, the collective pride of persons in being members of a group. This pride is born of a conviction deeply held but seldom articulated that their group has a special competence surpassing that of other groups.

803. MORALE AND ITS BASIC REQUIREMENTS IN A GROUP

1. The essence of high morale in a group is simply the consciousness of well being in the individual members. Its requirements in a military organization appear to be these:

- a. Common Purpose. Awareness of common purpose can best be stimulated at grass roots level by a leader in charge of a small group. The idea of working together in teams to achieve short range goals will initiate the overall common objectives of the military unit.
- b. Leadership. This factor is discussed at length in other chapters. By not setting a good example and not practising what is taught the leader can destroy morale. Similarly, successful leaders effectively contribute to good morale ("Nothing succeeds like success") whereas the inept leader destroys the consciousness of well being in the group and gives rise to the feeling that "nothing is going right".
- c. Discipline. In the true sense of the word discipline is essential to good morale in the service. In the early stages of training good discipline breeds good morale. Good discipline and good morale are very closely allied.
- d. Self-respect. Individual self-respect as a member of the forces is necessary before morale can be generated. There is a normal human need to belong and contribute to a group and the leader should encourage and use this need. The leader must recognize the need to assimilate the new arrival who has completed his basic training into the military unit. The leader should arrange for the new arrival to be introduced to all levels of the group by a subordinate. Work should be assigned commensurate with training and ability and with regard to a man's special talents. Praise

should be given promptly and publicly and criticism should be made intelligently and generally in private. In these ways the foundation for the man's self-respect will be laid, and he will be stimulated to maintain his self-respect.

- e. Pride. Once self-respect is achieved, pride in the military unit should be stimulated. The leader should arrange sports and competitions with other military units and always be on the alert for the opportunity to engage his unit competitively with other units. He should encourage suggestions from the group for group activity such as informative and recreational activities. The leader must take the initiative and provide the necessary arrangements and encouragement for maximum group participation. By diligent application, the leader provides the climate and the basis for the growth of pride in the group.
- f. Comradeship. This is intangible but nevertheless it is very real. The leader can encourage a sense of loyalty, a family sense of the members to each other, and a sense of humour in the group. This gives a reserve of strength to the group in difficult times.
- g. Mutual Confidence. This is closely allied to comradeship but tends toward the mutual respect of one man toward another with regard to his professional ability. It must exist at all levels and between all ranks up, down and across. The leader must make every effort to be technically proficient and keep abreast of current trends and developments. Confidence can be greatly enhanced if the leader is able to carry out any task which he may require his subordinates to undertake: this is particularly important in hazardous activities such as an underwater diving operation. The group must have the confidence that their leader will represent them fairly and accurately to higher echelons of command and the leader must always

refrain from criticism of seniors if the attainment of mutual confidence is to be achieved and maintained.

- h. Spiritual Beliefs. The leader of a group is under an obligation to his subordinates to see to it that their spiritual needs are met, in arranging interviews with service chaplains and providing the opportunity for participation in church activities. He must ensure that all men in his group are able to practise their particular beliefs and are not subject to prejudice or derision within the group. The leader's personal feelings are not particularly important; it is his duty as the leader to encourage and support anything that enables and strengthens his men to perform their task with maximum ability.
- j. Dependants' Well-being. Problems of men away from their families can grow to disproportionate size and ruin morale and efficiency. The leader must be aware of the ways in which men can be helped by various agencies. He must act promptly and show sincerity.
- k. Comfort and Welfare.
 - (1) Men will work long hours under bad conditions and morale will not be affected provided:
 - (a) their leader tells them why, and
 - (b) they are satisfied that those responsible have a sincere interest in their welfare.
 - (2) Material comforts are important and desirable when the situation permits but they do not take the place of the other factors, and by themselves mean nothing.
 - (3) Men must be confident that their leaders are doing their best for them. If they have this confidence they are prepared to accept hardships and discomfort with no adverse effect on morale.

804. THE INDIVIDUAL - CONSIDERATION BY THE LEADER

1. When considering the complex attitudes which make up morale, the leader must consider how men respond to the various circumstances of their service life. The state of a man's morale at any given time depends upon and is measurable by:

- a. his attitude to the service;
- b. his attitude to himself;
- c. his attitude to his companions; and
- d. his attitude to his leader.

805. ESPRIT DE CORPS

1. General. Esprit de corps pertains to a group and can be instilled in the individual only in so far as he identifies himself with a group such as a ship's company, a regiment, or a squadron that possesses it. The essence of high morale in a group is simply the consciousness of well being in the men of that group. The requirements for this feeling of well-being have been discussed earlier in this chapter and the esprit de corps will be in direct proportion to the success achieved by the leader in meeting these requirements.

2. Development. The leader can contribute to the development of esprit de corps by exerting his personality and influence in the following areas:

- a. Pride of the Unit. The realization is engendered that the whole, the military unit, is greater - much greater - than the sum of its individual parts. The members of the group are convinced that their separate skills have been integrated and co-ordinated by their leaders who themselves are of the group and not distant figures of authority. From this group pride springs a desire to create a coherent unity to which all members are intensely loyal.

- b. Unusualness. If the unit is unusual, the first of its type as to equipment or mission, the feeling of pride is more intense. If, in addition, the duty performed is dangerous, even in peacetime, the intensity of esprit de corps that can develop is almost unbelievable. Examples of this category are the crews of the latest submarines, the squadrons with the latest aircraft, and the regiments with the latest missiles. If the military unit is effectively unique in the excellence of its leadership, this also is a factor to be considered.
 - c. Tradition. If valid traditions are handed down to newly formed military units, their impact on the recent arrivals will be immediate and forceful. A man in a ship that was named in honour of a former warship will be conscious of a challenge as will the members of famous regiments and squadrons. These valid traditions are manifested by battle honours, trophies and ship and squadron names which are constant reminders creating daily challenge and inspiring men to greater efforts that will enhance the efficiency of their particular military unit.
3. Dynamism. Esprit de corps is dynamic. It thrives on the desire to excel, on the determination that the particular unit shall have no peer in the performance of its special function. It is reflected in a general smartness of behaviour and dress, outward signs of harmony, good discipline, efficient organization and pride in the skills that prevail within. It reveals its presence in other ways. Members of this unit are apt to affect a certain condescension toward outsiders. They incline to mannerisms in speech and dress that enable them to be readily recognized as members of a crack team. This military unit has esprit de corps and it is clearly evident.

806. MORALE AND ESPRIT DE CORPS

- 1. Comparison. Esprit de corps and morale are separate entities. Either can exist independently of the other. The

term esprit de corps is generally used only in connection with the armed services and within them, in most cases, only with reference to military units which are intended to function in an operational area.

2. Relationship. What then is the relationship between morale and esprit de corps? It is suggested that they are not of necessity complementary. It will be unusual in a newly organized unit to develop esprit de corps without first achieving good morale. It may be inferred therefore that good morale provides the necessary climate for the birth of esprit de corps and the best climate for its somewhat mysterious growth and preservation. The competent leader is therefore extremely sensitive to morale. He is as conscious of its variations as he is of changes in the weather. What should he do if the morale of the group dips and continues on a downward trend? It will soon be obvious in a lowering of willing performance on the part of the group and a reluctance to give of their best on the part of the individual members. Two reliable indicators of the decline in morale are an unusually high incidence of minor offences and an increased rate of requests to transfer to another military unit. The trouble will almost invariably be found in the leadership. Work goals may be achieved, but the manner in which they are achieved leaves much to be desired. If the cause of bad work and performance is difficult to detect the leader should:

- a. examine the morale of the unit in the light of the requirements stated above;
- b. examine the effectiveness of the subordinate leaders against their requirements;
- c. identify those whose leadership and supervisory performances are below requirement; and
- d. take action to remedy identified weaknesses.

3. Problems. The maintenance of esprit de corps will be difficult unless the following problems which may arise are overcome:

- a. lack of confidence in the leadership;

- b. presence in the unit of groups of men in conflict;
- c. presence of unwilling members who hamper unit performance;
- d. rapid turnover of personnel, especially of the leaders; and
- e. lack of proper recognition for unit achievement.

807. SUMMARY

1. Individual morale is the complex of a man's attitudes. Group morale is more than the mere sum of the attitudes of individual men. It is the product of their efforts, a measure far greater than the sum, closely involved with the men's relationship with their leader. Group morale is hard to evaluate and measure accurately but its lack quickly becomes evident. Esprit de corps is characterized by pride, unusualness of role and readiness for combat. It is the task of the leader to influence his men on all three levels simultaneously, motivating them as individuals and as a group that becomes a fighting unit with admirable esprit. The leader must relate constantly, the needs, feelings, and attitudes of his men, the factors that make up the foundation of morale, to the accomplishment of the mission if he is to employ his followers to maximum effect.

2. "Leadership On Board the Raider Atlantis" by Vice Admiral B. Rogge, Federal German Navy, reprinted by the US Naval Institute: is shown at Annex A. This is used as an illustration of how a capable leader created and maintained morale resulting in and manifested by tremendous esprit de corps. The maintenance of morale over a prolonged period and in difficult times, albeit in a set and unusual situation, illustrates vividly the competence of Vice Admiral Rogge as a leader of men.

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(809 to 899 inclusive: not allocated)

CHAPTER 9

INTERPERSONAL COMMUNICATIONS

901. AIM

1. The aims of this chapter are:
 - a. to illustrate that communications involve not only the transmission of information from one person to another but also the meaning and intention of the originator of the communication;
 - b. to describe the communication process;
 - c. to identify the several barriers which prevent effective interpersonal communication and to suggest ways of overcoming these barriers; and
 - d. to describe the flow of communications in an organization, the art of listening, and the order-giving process.

902. INTRODUCTION

1. Communications are vitally important in gaining effective leadership. Since leadership is the art of influencing human behaviour, a leader must pass information to his men in such a way as to obtain the desired response. To accomplish this, full meaning and intention must also be transferred from the leader to his followers. Communications have a direct and powerful influence upon the relationship between the leader and his followers.

2. Most communications are made in words, spoken or written; some are conveyed by means of drawings, charts, or pictures; but tone of voice or language, facial expression, gesture, and posture are also means of communications and often, whether intentionally or not, can be of significance to results.

3. Communications in the Services consist of a highly complex and dynamic system of vertical and lateral, official and unofficial channels, and of formal and informal instructions, requests, information, and rumour. Control of communications depends upon feedback of information, both operationally and interpersonally. Official communications are the blood stream of any organization and generally they follow the chain of command.

903. THE COMMUNICATION OF MEANING

Unfortunately it is never possible to communicate complete meaning as is shown by the following figure:

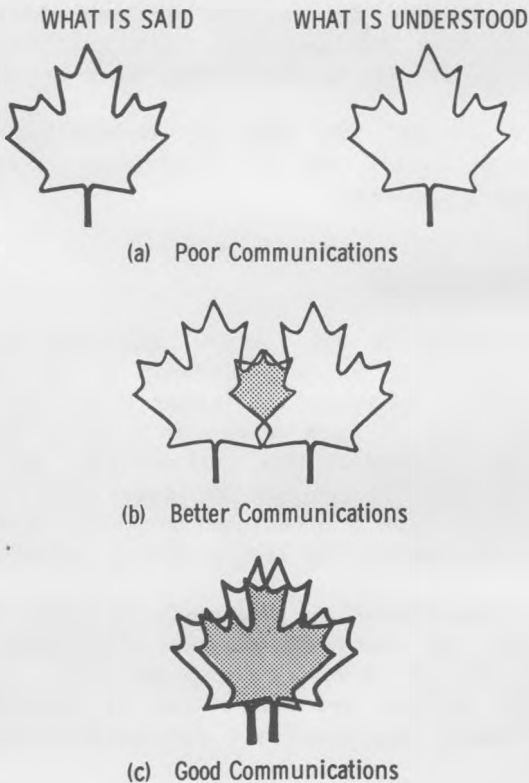


Figure 9-1 The Process of Communications

The overlap area indicates the degree of correct interpretation. A 100 per cent overlap never occurs because people do not share the same brain.

904. THE COMMUNICATION PROCESS

1. The purposes of communications in leadership are to provide the information and understanding necessary for group effort and the attitudes necessary for motivation, co-operation and morale. Better communication produces better job performance.

2. An ideal communication process is where the spoken or written words produce the desired results. However, a number of factors affect the transmission of meaning. In reality the process can contain several or all of the factors shown in Figure 9-2. This figure also illustrates the significance of barriers in reducing or distorting the original meaning. Since barriers are of such important consideration they will be dealt with separately in art 905.

3. Most written or spoken communications contain the following:

- a. Sense. Factual information, instructions, or requests.
- b. Feeling. An indication of the originator's attitude to these facts (satisfaction, alarm, disappointment, urgency, indifference, etc.).
- c. Tone. An indication of the originator's attitude to the person or persons to whom the communication is made (approval, disapproval, respect, contempt, indifference, etc.).
- d. Intention. The originator's purpose in making the communication (to stimulate or modify action, attitudes, or feelings, to give or get information or promote understanding of a situation or problem, or any combination of these).

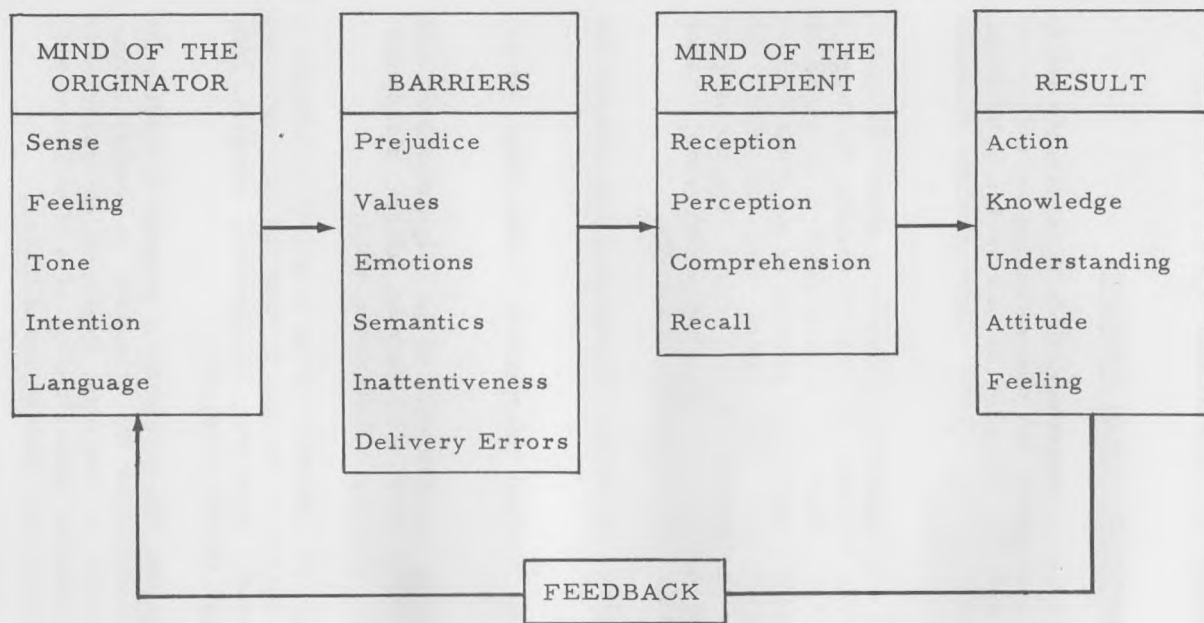


Figure 9-2 Factors Affecting the Transmission of Meaning

- e. Language. The originator's actual words and power of expression.

4. The effectiveness of a communication depends on some or all of the following closely linked elements in the recipient's mind:

- a. Reception. The recipient's mind must be open and willing to absorb the communication and to try to understand what is meant by its originator. This condition is by no means always satisfied in communications in either direction - between leaders and followers. It depends often on the degree to which the recipient is prepared to grant good will and good faith to the originator. It may also depend on the arousal of interest.
- b. Perception. The communication must be seen by the recipient as meaning what the originator intended it to mean. It must be seen as far as possible, in the same context as was present in the originator's mind. This condition also is not always satisfied. We tend to make any new idea fit into preconceived patterns already present in our minds. The originator of a communication should be aware of this tendency.
- c. Comprehension. This usually depends on whether or not the communication is made in the language of the recipient. For example, a statement that is crystal clear in the officers' mess may appear to mean something quite different, or be incomprehensible, when it is transmitted to the men at work.
- d. Recall. Even if the previous three conditions are reasonably satisfied it will not follow that a communication is remembered and can be recalled. Recall, after a lapse of time, is not always essential for a communication to be effective. If such recall is desired however, success depends chiefly on how far the interest of the recipient has been aroused, and to what extent the recipient has been caused to feel that the communication is relevant and important to his own interests.

5. The success of any communication depends, therefore, on some or all of:

- a. clarity of expression in language suitable to the recipient;
- b. the attitudes of both parties toward each other and to the subject of the communication;
- c. the feelings conveyed in and aroused by the communication;
- d. the degree to which the originator has appreciated the point of view, preconceived ideas and possible reactions of the recipient; and
- e. the interest aroused in the recipient by the communication.

6. When correct communication is essential the originator should pay particular attention to feedback. Feedback is shown on the figure as emerging from the result block. The leader should not ignore the indication that something may have gone astray in terms of action, knowledge, understanding, attitudes or feelings. If results, therefore, have been unfavourable in any way, the desired response has obviously not been achieved. To correct the situation, the originator should examine the feedback, carefully re-plan his communication and re-state the message accordingly.

905. COMMUNICATIONS BARRIERS

1. The problems met in attempting to communicate effectively consist of a number of barriers or obstacles. By no means a complete list, the following are some of the more significant barriers with suggested ways of overcoming each:

- a. Prejudice. People who dislike, distrust or lack confidence in the communicator may not only misinterpret his meaning but also tune him out

completely. Although most people freely admit prejudice is wrong, many harbour prejudice unconsciously in their minds. Obviously prejudice is not conducive to good communications. Therefore, the leader should recognize his own prejudices and be aware of any prejudice his men might have toward him. The following is a list of the more significant prejudices men might have against the originator of communications:

- (1) the originator himself,
- (2) his group of colleagues,
- (3) his level of experience,
- (4) his religion,
- (5) his political beliefs,
- (6) his background (ethnic, family, educational, military),
- (7) his morals,
- (8) his reputation,
- (9) his physical appearance or stature, and
- (10) his lack of competence, if apparent.

b. Dealing with Prejudice. Dealing with these prejudices can be very difficult indeed, but suggestions to overcome this barrier are:

- (1) recognize your own prejudices and make a sincere effort to keep them from influencing your interpersonal communications,
- (2) do not broadcast inflammatory beliefs or affiliations,

- (3) recognize mentally, but not verbally, what prejudice is against you,
 - (4) in explaining your opinions avoid reference to controversial factors, i.e., use tact and diplomacy,
 - (5) present the image of being a reasonable person rather than a campaigner in the cause of your prejudicial beliefs or affiliations,
 - (6) when faced with prejudice do not allow your courage to waver,
 - (7) explain your intentions clearly, and
 - (8) pay very close attention to feedback as the probability of poor results is high when strong prejudice exists.
- c. Values. The value barrier is imposed by people whose interpretations are in terms of what is important to them personally. This situation can lead to misinterpretation. Through their own perception, people see only what they want to see or hear what they want to hear in terms of their values. Another aspect of values, significant as a barrier, is that of the two-valued orientation. For example, during wartime it was felt that whoever was not a 100 per cent patriot must have been a foreign agent. Another example is that of the American pioneers saying "a good Indian is a dead Indian". In the two-valued orientation everything is either black or white; there are no in-betweens. Therefore the tendency is to see things in terms of two values only, affirmative or negative, good or bad, hot or cold, love or hate, etc. Value barriers can be minimized by
- (1) ensuring that the communication is complete so that a true evaluation of its contents can be gained, and

- (2) recognizing that people have divergent points of view and hence identifying the several possible points of view of both originator and recipient.
- d. Emotions. Anxiety, fear, mistrust, and similar emotions not only reduce acceptance of information but also induce people to distort information. Moreover, false feedback to the originator may well emerge. For example, men in fear of having their weaknesses discovered will not communicate that information upward which would expose their own shortcomings to their superiors. Methods of overcoming emotional problems are as follows:
- (1) Spend time and effort creating a favourable climate and attitude before imparting the message. In the order-giving process this would be a necessary portion of the preparation phase.
 - (2) Project yourself in the other person's position, so that a greater appreciation of his emotional problems can be gained with regard to the impact of the communication upon him. This process is called empathy.
- e. Semantics. This barrier is created by the recipient missing the true meaning because some words have different meanings, and different words have similar meanings. For example, the word "face" has 47 meanings, the word "round" has 73 meanings, and there exists an average of 28 meanings for each of the 500 most used words in the English language. Methods of overcoming semantics' problems are:
- (1) Be person-minded not word-minded. Words by themselves do not convey meanings. People convey meanings. Ask yourself "This is what it means to me. Does it mean the same to him?".

- (2) If you are uncertain there has been mutual understanding, ask questions. Develop the practice of having the speaker's words rephrased in the recipient's own words and transmitted back to the originator. In other words, confirm through questions that meaning has been correctly transferred.
- f. Inattentiveness. People spend most of their working hours engaged in communications of one form or another. The major portion of this communications time is spent in listening. Despite this fact nearly everyone pays little heed to the art of listening. Bad listening habits on the part of the recipient are not only exasperating to the originator but also detrimental to the communications results. The methods of overcoming bad listening habits are outlined in art 907.
- g. Delivery Errors. Apart from the power of expression of the originator there exist several factors in the delivery which, if ignored, can create barriers. Some of the more significant delivery errors are:
- (1) disregard for recipient's misunderstanding;
 - (2) poor timing (e.g., speaking to a man who is very busy);
 - (3) choice of words not geared to recipient's intelligence and background;
 - (4) lack of preparation;
 - (5) communicating indistinctly or ambiguously;
 - (6) improper choice of media (e.g., telephone instead of letter);
 - (7) failure to encourage questions;

- (8) assumption that the recipient thinks the same way as the originator;
- (9) failure to distinguish between facts and opinions;
- (10) irritating the recipient by contradicting his statements;
- (11) wordiness or over-explanation; and
- (12) lack of explanation.

Methods of overcoming barriers created by poor delivery are outlined in art 908.

906. COMMUNICATIONS IN AN ORGANIZATION

1. Communications in any organization officially flow through the chain of command. The following figure illustrates the directions in which communications flow, downwards, upwards and laterally, in a typical segment of an organization:

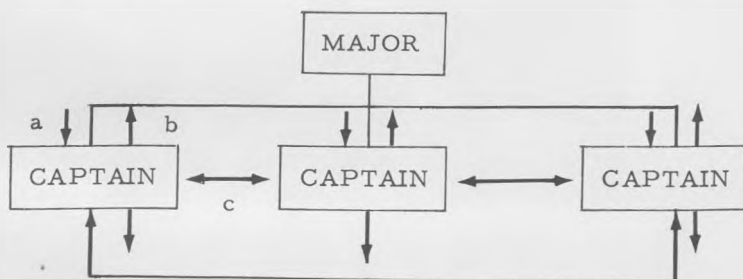


Figure 9-3 Directions in Which Communications Flow

- a. Downwards. The leader communicates downwards in several ways, e.g., commands, orders, instructions, or information. Additionally, his communications may be either oral or written, or in some instances both oral and written. Meetings or conferences can also assist downward communication by providing explanation to many persons at one time.
- b. Upwards. The leader receives upwards communications through suggestions, reports, complaints, recommendations, requests, or information; either orally, or written, or both. As upward communication is essential to effective leadership, it should not be ignored or discouraged. One of the best methods of stimulating upward communication is by having an open door policy, e.g., providing for communications from subordinates through casual or social contacts, regular meetings or conferences, suggestion plans, and interviews. The most significant barrier to accurate upward communication is that caused by fear of superiors.
- c. Lateral. Lateral communication is important in an organization in that co-ordination and co-operation are required at every level. The degree of co-operation in turn depends upon the amount of interaction, and upon mutual confidence and respect. Lateral communication can be improved by meetings or conferences since they provide the opportunity to exchange ideas freely.

2. Because meetings are beneficial in improving communications in all three directions, some features of meetings are worthy of consideration. Meetings consist of a group of people who assemble to perform such administrative acts as to pass information, to solve problems, or to make decisions. Meetings are attended on a part time basis. It is presupposed that there will be a free and open interchange of ideas between members. However, this is often not true because members may be in attendance unwillingly or may have divergent interests. Some of the advantages of meetings are:

- a. integrated group judgement is provided;
 - b. co-ordination is effected;
 - c. co-operation and execution are secured; and
 - d. members receive training as an additional benefit.
3. There are of course certain disadvantages such as:
- a. meetings are costly in time and money;
 - b. difficulty exists in assembling everyone together for the entire meeting, owing to other commitments;
 - c. destructive conflicts may occur owing to divergent interests; and
 - d. inappropriate compromises may result.
4. Hence meetings do contribute to effective communication, but overuse is a waste. They should not be held when decisions are unimportant or when time is short. Meetings will be more successful if these rules are adhered to:
- a. have a reason for meeting;
 - b. give advance notice stating place, time, and agenda;
 - c. control the discussion; and
 - d. speak effectively and do not overtalk.

907. THE ART OF LISTENING

1. Inattentiveness is one of the worst barriers to communication. People seldom take any formal training in listening although this could prove a worth while endeavour, since they spend almost half of their working time in

listening. Because listening is an activity requiring work and concentration, it is possible to slip into lazy listening habits. By reviewing this list of the ten worst listening habits as diagnosed by leading specialists on communications problems, deeper self-awareness can be gained as well as knowledge of how to rectify each deficiency:

- a. Assuming in advance that whatever the speaker says will be unrewarding.

Cure. Give the speaker the benefit of the doubt and concentrate on what he is saying, at least until it is absolutely clear that it does not warrant your full attention.

- b. Mentally criticizing the speaker's delivery instead of listening to his words.

Cure. Concentrate on the message - it is more important than the delivery. People with good ideas are not necessarily good talkers - and vice versa.

- c. Reacting with such immediate opposition to an idea that you do not even hear the rest of the speaker's argument. Instead of listening, you are busy thinking up opposing arguments.

Cure. Listen to the complete idea and make sure you understand it before you come to a judgement.

- d. Concentrating on details and missing the main ideas.

Cure. Do not try to engrave every detail in your memory. Instead, relate the facts to the speaker's main idea to see how they support it.

- e. Trying to take notes on everything said at a conference or a meeting.

Cure. In taking notes, follow the speaker's method of organizing his main points and supporting facts. This will simplify the outline and the listener will not be so busy jotting down details that he misses half of what the speaker says.

- f. Pretending to be attentive while actually thinking about something else.

Cure. Be on your toes when you are listening - just looking interested is not enough. Real listening actually consumes physical energy - your heart beat quickens, your blood circulates faster, and your body temperature rises slightly.

- g. Remaining silent when the speaker is being unclear or incomplete in his thoughts.

Cure. Be an aggressive listener. Ask the speaker to clarify anything you think is unclear. Ask him for more information when you think it is essential.

- h. Tuning out when the speaker uses technical terms that do not mean anything to you.

Cure. Let him know you do not know the terms, so he can explain their meaning. Otherwise you may completely lose his message.

- j. Letting prejudice against certain words or phrases block your receptivity to the speaker's ideas.

Cure. Do not let the speaker's choice of words get in the way of your understanding of his message. It may not be the language you would use, but that does not mean his ideas are no good.

- k. Letting your mind wander.

Cure. This often happens because a listener thinks four times faster than a speaker talks, giving the listener time to think between the lines. Use that extra thinking time to weigh the evidence the speaker is offering to support his points.

908. THE ORDER-GIVING PROCESS

1. An intelligent leader realizes that as far as leadership is concerned, the process whereby results are obtained is just as important as the results themselves. Proper order-giving by the leader ensures that his men always know clearly what they should or should not do because it simplifies things for them and they know exactly what is expected of them. There are four types of orders that the leader may use:

- a. Direct. The direct order is specific, concise, and definite. It does not allow hesitation, indecision or any degree of disobedience. Example: "Jones, sweep the floor now."
- b. Request. The request is a softened direct order where such expressions as "Will you", "Can you", "Would you like to", or "Please" may be used to qualify the order. Example: "Jones, will you sweep this floor please, when you have the time."
- c. Implied. An implied order leaves a great deal to the imagination, experience, and intelligence of the recipient. The leader implies what he wants done and the recipient uses his judgement and discretion in carrying out the order. This type of order is generally inadvisable. Example: "Jones, this floor needs sweeping."
- d. Call for Volunteers. The call for volunteers may or may not produce a man to perform a task. This type of order should not be overworked. Some leaders avoid responsibility by constantly asking for volunteers. Example: "Will anyone volunteer to sweep this floor?"

2. An order may be either written or oral. Written orders should be in keeping with the requirements of good service writing in that they should be clear, concise, correct, and coherent. A written order has an effect of permanence and should be used when:

- a. transmitting instructions to another location;
- b. precise figures or complex details are involved;
- c. it is necessary to hold a person responsible; and
- d. sequence is important and strict adherence is necessary.

3. Oral orders have the advantage of the leader's personal impact. Oral orders should be given with the correct attitude. The leader should refrain from talking down to his men and referring constantly to his superiors to lend weight to the order. Verbal orders may be used:

- a. in a local emergency;
- b. for minor details locally;
- c. to clarify a written order; and
- d. in routine matters.

4. The leader must decide what type of order is suitable in any given situation, and whether it should be written or oral. No matter what type of order is to be given, it is imperative that the following steps be observed:

- a. Planning. In planning the order ask the questions: What, When, Where, Why, How and Who. Ensure that compliance is both reasonable and possible. Avoid petty orders and issue only those that are necessary. Have in mind a clear picture of the order to be given. Know the "what" of the order.
- b. Preparation. In the preparation remember that orders should be complete and descriptive. They should not be ambiguous. Fit the order to the recipient in terms of his competence, strong and weak points, attitudes, and how to best motivate him. Keep in mind the specific purpose of having the order carried out. Know the "why" of the order.

- c. Delivery. The delivery must be clear, concise, correct and coherent. An order must proceed from the superior to the subordinate for it to be lawful. Express the order in concrete terms; if necessary, use examples for better explanation. Let the recipient know what is expected in quantity and quality: how much is to be done and how well it is to be done.
- d. Confirmation. Ensure that the recipient fully understands the order. This may be effected by having the man repeat back all that he is to do, especially when sequence and details are complex in nature.
- e. Follow-up. Spot check while the order is being carried out. If the task has gone wrong because of misunderstanding, identify and correct the weak spot in the communication.
- f. Evaluation. After execution of the order evaluate the results through the observation of feedback. This will help determine any further action necessary, help the leader appraise his own effectiveness in giving orders, and assist him in better understanding his men.

909. SUMMARY

The military leader relies greatly upon communications in influencing human behaviour to accomplish a mission. The process he uses to transmit meaning and intention is affected by such barriers as prejudice, values, emotions, semantics, inattentiveness, and improper delivery. Several suggestions to overcome these barriers have been advanced. A leader should pay particular attention to his listening habits and how he gives orders. The ten worst listening habits have been outlined and are accompanied by suggested cures. The order-giving process highlights several factors to assist the leader in achieving favourable results. The process itself consists of a number of important steps including planning, preparation, delivery,

confirmation, follow-up, and evaluation. Although the procedure may at first glance seem complex, adherence to this pattern will actually simplify the giving of orders and effect optimum success. To neglect any of these factors invites possible failure of the mission, chaos among subordinates, and lack of confidence in the leader.

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CHAPTER 10

PROBLEM SOLVING AND DECISION MAKING

Section 1 - General

1001. AIM

The aim of this chapter is to present methods of problem solving for use by the young officer in the performance of his duties.

1002. INTRODUCTION

This chapter will include problem solving by logical analysis, straight analysis, and trial and error. While the technique of problem solving does not change fundamentally, consideration is given to special problems such as those relating to habits of mind and to certain sophisticated techniques of problem solving, such as the use of models. The use of models, which constitute a deliberate reduction of a problem to its essentials, introduces the subject of war games, another form of simulation. The military appreciation which is the format for tactical operations is briefly described in comparison with the process of logical analysis. At Annex "B" an account is given of a classic solution to a military problem. It is not a widely known occasion, but at Leuctra in 371 BC, a tactical innovation changed war and history as significantly as did the use of the tank and the aircraft in the First World War. The tactic which was invented by the Theban general of long ago looks forward in history to the "oblique order" of Frederick the Great of Prussia and is directly related to Nelson's "Crossing of the T" at the battle of Trafalgar.

Section 2 - A Simple Outline of the Process of Problem Solving

1003. AIM

The aim of this section is to present the best method of problem solving, by logical analysis, given the time the leader needs to complete the process.

1004. INTRODUCTION

1. There is an irreducible minimum of three activities which a leader must perform. He must:

- a. communicate with his men;
- b. motivate them toward accomplishing the mission; and
- c. solve problems that prevent accomplishment of the mission, and make decisions that will advance its accomplishment.

2. The problems which the leader must solve concern the obstacles which thwart the attainment of an objective. The restricting factors involved in problem solving are the limitations of:

- a. the leader in perception, intelligence, professional competence, imagination, and ability to communicate.
- b. capability on the part of the followers; and
- c. resources.

Within these limitations, the leader's task, when he meets a problem, is one of analysis, decision, and translation of decision into action. The Romans had a proverb which still applies to what the leader, confronted by a problem, must ultimately do, "Find a way or make one."

3. The purpose of this section is to discuss ways and means to approach the problem-solving process through the logic of solution, and arrive at a decision. To the degree that a leader proves skilful in this aspect of his training and performance, his success in a military career is assured. Mere conformity, however diligently pursued, is not the way to promotion. It is the officer who consistently finds and applies the right solutions who will advance to higher levels of responsibility.

1005. WHAT IS THE PROBLEM?
LOGICAL ANALYSIS

1. The young officer is given a mission to perform. The strategy of decision making is out of his hands. Someone else has determined the objective which the junior officer, utilizing his men and resources to best advantage, must achieve. His problem is at the tactical level, but this does not relieve him by any means of the responsibility for making decisions within his scope. The mission may be training, administration, or manoeuvres. When he is told the mission, the first step is to be sure he knows the aim, the full intent of his leader. The second step is to identify the obstacles which stand in the way of accomplishing the mission. He must make a careful, logical analysis of the situation to know what the obstacles are that stand counter to his purpose.

2. There is a feature of problem solving which misleads many well-meaning persons. They assume they know what the problem is at a glance. But problems go in disguise. What looks like a training problem may be a problem in organization, or in follower limitation, or in inadequacy of equipment, or in failure of communication and motivation. What looks like a purely material problem may in fact be a morale problem. What looks like the central problem may be merely the symptom of a much larger and more deep-seated problem. The leader's aim is to cure a disease, not suppress a symptom. It is at this phase of problem solving that the leader's perception, intelligence and imagination is taxed the most. Once the real problem has been identified, the leader is well on the way to a solution.

1006. THE CRITICAL FACTOR

1. As soon as the leader has identified and defined the problem confronting him, a further step in analysis is necessary. Problems are multi-factored. In his good judgement, the leader must determine what is the critical factor on which everything else depends. Unless he takes this third and simplifying step the leader will undertake too much. He has a mission to accomplish and his decisions must be

based on that single aim, no more and no less. It is by isolating the critical factor of a problem that he saves time and resources. In the game of chess, an excellent exercise in problem solving, the loser is the player who wastes a move, who does not analyse the situation, extract the critical element from it and plan his game accordingly. The loser moves a pawn of no importance, giving his opponent the opportunity to strike home with his queen.

2. To arrive at the critical factor, a suggested analytical method is to answer the following questions:

- a. What causes the problem?
- b. What resources are available to deal with it?
- c. What are the capabilities of the followers in dealing with it?
- d. What are the factors of time and space?
- e. What are the required conditions for the solution?
- f. What is the simplest, easiest and fastest way of bringing those conditions about?

Given the answers to these questions, the leader will have established the critical factor which provides the focal point of his further planning. The answers will reveal the central, most stubborn feature of the obstacle that confronts him and will, in consequence, disclose the sector in which he must attack.

1007. ALTERNATIVE SOLUTIONS

1. The fourth step in the procedure of problem solving is the generation of more than one practical solution to the problem. What are the several ways in which the critical factor can be overcome and the subordinate factors dealt with in the process? The dangers here are several, as seen from the following errors that may be committed:

- a. A single solution is hit upon intuitively or by chance and the alternative solutions are merely advanced as a matter of form or as straw-men to be automatically knocked down in favour of solution number one.
- b. An "either-or" solution is arrived at. The decision has to be one thing or the other. The language itself drives thought into bi-polar opposition, leaving out the middle ground where the best solution may lie.
- c. Insufficient analysis conducted. One is reminded of Von Moltke's remark to his staff, "Gentlemen, you may be sure that of the three courses open to the enemy, he will always choose the fourth."

1008. DECISION MAKING

1. Once the appropriate number of alternative solutions have been formulated, it is necessary to test them against some objective criteria to decide which is the best. Situations are likely to be so many and so different that it is impossible to set down a fully comprehensive list of questions the leader must ask himself to arrive at a decision. The following may be regarded as a fair sample:

- a. Is the solution I am now considering the simplest?
- b. Is it the most economical in time, space, resources, and the effort of the followers?
- c. Is it the most flexible?
- d. Does it best take into account co-operation
 - (1) among followers, and
 - (2) with neighbouring units?
- e. Does it afford the highest degree of security, which is to say does it contain least risk of failure?

- f. Does it most fully satisfy the conditions for the problem's solution?

2. Having matched his alternative solutions against the above or similar list of criteria, the leader will choose the one which best satisfies all the requirements and will decide to implement it. This decision becomes his plan which he will communicate to his followers, adopting the appropriate leadership approach and motivating them by the best means that will ensure the obstacle is overcome and the mission accomplished. A secondary advantage to the development of alternatives is that if the plan decided on does not work because of an unforeseen occurrence, the leader is prepared with a second course of action. He may be able to implement the next most promising alternative without unduly disrupting the whole operation.

3. In summary, the logical steps the leader must take to arrive at a sound solution and an effective decision when he is confronted by a problem are:

- a. he must be sure of his leader's intent;
- b. he must identify the problem;
- c. he must analyse the problem to extract the critical factor;
- d. he must develop alternative solutions;
- e. he must compare the alternative solutions by reference to objective criteria;
- f. he must decide which solution is best; and
- g. he must implement his decision.

Section 3 - Additional Methods and Considerations
in Problem Solving

1009. AIM

The aim of the section is to present exceptions to the simple outline of problem solving and decision making

described in Sec 2 and to add further important considerations relevant to the subject.

1010. OTHER METHODS OF PROBLEM SOLVING

1. General. The problem solving method detailed in Sec 2 is by no means the only approach to decision making. The leader may be faced with situations that occur so suddenly that he will not have time to take all the logical steps outlined previously, but must, nevertheless, arrive at a decision and give orders in time to avert a disaster.

2. Straight Analysis. When time is of the essence, the leader may be forced to compress the problem solving activity. When his men come under fire, the leader's reaction must be swift. At this point, the problem and the critical factor are one and the same. Comparison of solutions and final choice of solution will have to take place as the result of a very brief reconnaissance. The excellence of a plan will be less important than the forceful, decisive implementation of a plan that is workable. Straight analysis is a method confined to situations where the time factor is more pressing than the requirement for a comprehensive solution. The adoption of straight analysis may mean that secondary factors will not be satisfied. In an emergency, it will not matter if the critical factor is met. In rescue, for example, where the object is to save life, the leader has succeeded in accomplishing his mission even if the rescued man sustains a broken leg. It is emphasized that logical analysis will produce a better decision.

3. Trial and Error. In some highly complex situations, it may be very difficult to separate the critical factor from other factors. When time is pressing but is not so critical that life and death are at stake, a leader may adopt a method of expediency, arriving at a solution which does not meet the entire requirement of the problem, but which is worth trying. The leader accepts the probability of error when he adopts this approach, hoping that by attacking the problem, he will simplify it to bring it eventually to a situation he can handle. If a leader adopts a course of action and puts it into effect, he should soon observe, from the outcome,

what is critical and what is not. Once the critical factor is isolated, he can proceed to the best solution by logical analysis. In scientific study, the experimental approach is a refinement of this method, beginning with an assumption, testing it by experiment, and reasoning from the results.

4. Time Factor. The time factor normally is the governing consideration which determines the leader's choice of method in problem solving. If time permits, logical analysis in all its steps is best. If time permits and there are factors in a situation which defy analysis, a trial-and-error approach is indicated. If time is of the essence, straight analysis is then appropriate. As a rule, the leader will not have all the facts. He knows the mission and the general conditions, but he can expect to be faced repeatedly by surprise. Imagination and flexibility are his right and left hand whenever a disrupting factor threatens the accomplishment of a mission.

1011. LIMITATIONS TO PROBLEM SOLVING AND DECISION MAKING

1. It was noted in art 1004 that the effectiveness of the leader's performance is limited to his perception, intelligence, professional competence, imagination, and ability to communicate. The leader with the closed mind, the leader who thinks "emotionally", the leader who relies on "hunches" and "snap" decisions, is the leader who balks at the analytical process required. As a consequence, he lands himself and his unit in trouble.

2. Mental habits which prevent an intelligent approach to problem solving are as follows:

- a. Preoccupation. The mind that wanders between concentration on the problem at hand and fleeting thoughts on other subjects.
- b. Narrowness of Outlook. A readiness to perceive and act upon certain features of a situation to the neglect of others which are of equal importance.

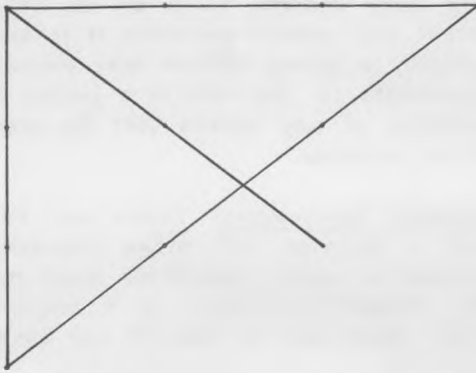
- c. Fixedness. Some leaders find it difficult to consider anything but the usual aspects of a situation. They may become fixed on an object in one context and cannot perceive it in another. For example, a young officer may perceive a good subordinate in the role of a junior NCO to the exclusion of any notion that the man also has officer potential.
- d. Emotional Involvement. There may be occasions when a decision will mean casualties. If the decision is sound, casualties must be accepted. Such tough-mindedness is a requirement the leader must find in himself and develop in his followers.

3. As an example of how a mental habit will block a solution, here is the problem of the nine dots:



The problem is to draw four continuous straight lines, never lifting pencil from paper, so that each of the dots is intersected. The solution, for those having difficulty, follows:

4. The solution to the problem is this:



Most people who are unfamiliar with the problem, begin by working within the square, failing to perceive that nothing in the directions confined the operation to that area. The lesson to be learned is that often the solution to a problem lies outside boundaries which seem to, but do not really, limit the leader's field of action.

5. One means the leader has at his disposal to overcome the mental habits which inhibit problem solving, both in himself and his followers, is to create a "problem solving climate" when the participative approach to leadership is appropriate.

1012. A PROBLEM SOLVING CLIMATE

1. The ground rules for developing a problem solving climate are:
 - a. the leader expresses regard, respect and consideration for the thoughts and opinions of each member present;
 - b. he encourages the men to assist each other in their expression of opinion;

- c. he implements the sound ideas and suggestions advanced by unit members;
- d. he promotes the feeling that each person is an important member of the team; and
- e. he permits the expression of contrary opinions, knowing that if he does not do so, members may become preoccupied, withdraw, or secretly resist decisions arrived at.

1013. THE USE OF MODELS IN PROBLEM SOLVING

1. There will be occasions, especially in training followers, when a young officer will have recourse to models of various kinds. The use of a model offers a simplified way of viewing a problem, in that only the essential aspects are reproduced. Usually, the young officer will find such models as training aids very useful when his men are in difficulties with complex equipment. Such models are three-dimensional and can be useful in teaching the workings of a machine. Charts and graphs, which are two-dimensional models, can be useful for conveying information.

2. War games are a form of simulation and model and have considerable training value. An example of how they can be played is as follows:

- a. The players are divided into five teams. Each team "runs" a unit, starting with the same conditions, whether they are training, administrative, tactical, or some other. Policy decisions are advanced and discussed by the players. Solutions are later discussed by team representatives before the whole group. Decisions as to "best" solutions are made by impartial umpires.
- b. As the game proceeds, the decision making process of suggestion, analysis and action must be repeated, since the questions do not remain answered. Every decision changes the picture. The players have to be alert to changing conditions, flexible in seizing opportunities, and

adaptable in moving to alternative courses if the course of action decided on fails.

3. Comments by participants have been that the game has great possibilities for improving judgement and reasoning capacity. It teaches the players - emotionally, as well as rationally that "leadership by rule of thumb" is no longer possible. The game's great merit lies in "reminding players of the complex and interlocking nature of the factors that affect most decisions".

1014. THE MILITARY APPRECIATION

1. In the discussion of problem solving and decision making, as it has progressed to this point, a general approach has been made to problems that constitute obstacles whether the obstacle in question is a live enemy or not. In the tactical situation the military form follows these logical steps:

- a. the aim;
- b. the factors;
- c. courses open; and
- d. the plan.

2. The process of following these logical steps is exactly the same as those discussed under the approach to problem solving by logical analysis except that the factors are specific and the courses open include those open to the enemy. The following table of comparison shows that the military appreciation is logical analysis reduced to a simple format:

The Military Appreciation

Problem Solving by Logical Analysis

- | | |
|------------|---|
| a. the aim | - the intent of the leader who assigns the mission; |
|------------|---|

- b. the factors
 - identification of the problem,
 - analysis of the problem, and
 - extraction of the critical factor;
- c. courses open
 - development of alternative solutions, and
 - testing of alternative solutions against objective criteria; and
- d. the plan
 - decision on the best solution, and
 - implementation of the solution.

Detailed study of the military appreciation is covered in tactical and staff training.

1015. SUMMARY

1. The process of problem solving and decision making has been discussed at the level where the young officer can best make use of the ideas advanced. The central theme has been the necessity for thinking in a logical and orderly way when an obstacle appears that threatens the accomplishment of the mission. The time factor limits the extent of the process. The application of logical analysis, straight analysis, or trial and error depend on the time available.

2. Sec 3 has provided an extension beyond the logical analysis which was central to the first. Those habits of mind which limit everyone in solving problems are discussed together with some suggested remedies. The use of models has been presented, with particular reference to "war games" as useful devices to practise leaders in the complexities of arriving at a decision.

3. The chapter is concluded with a brief comparison between the problem solving method of logical analysis and the military appreciation which the officer will employ throughout his career.

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CHAPTER 11

INTERVIEWING AND COUNSELLING

1101. AIM

The aim of this chapter is to familiarize young officers with the application of interviewing and counselling in the leader-follower relationship, the techniques used in various situations, and the precautions which must be exercised to avoid adverse results.

1102. INTRODUCTION

The efficiency and morale of men are influenced by the stresses and strains of all aspects of their lives. Resultant emotional conflicts and problems must be recognized and dealt with before they reach detrimental proportions. Interviewing and counselling skills have application in gaining information about men and their work, assisting them to perform their tasks, and solving their disciplinary or personal problems.

1103. INTERVIEWING

Interviewing is a form of communication directed toward guiding, aiding, or understanding another person, usually in a face-to-face personal talk. An interview is influenced by the personalities of the interviewer and the person being interviewed. Thus, no single formula for successful interviews can be given. However, some occasions will be outlined where interviews should be conducted by the leader.

1104. OCCASIONS TO INTERVIEW

1. Initial. Welcoming a man to a new unit is very important to both the leader and the follower. During the interview the man's qualifications should be ascertained, his duties should be explained, and he should be shown where

he fits into the organization. He is then introduced to those he should know and assigned to his place of work. If possible, he should be allowed time off to establish his family in suitable living accommodation.

2. Performance. After a man has been working in a section for a period of time he should be periodically informed of his progress. This will indicate to him how acceptable his work is, and what improvements are necessary. Performance interviews also provide feedback and should motivate the man to greater efforts.

3. Assignment. On several occasions a man may be given special assignments. By way of preparation he should be told exactly what is required, and he should be allowed to ask questions to clarify any points. The procedure used should follow that outlined in the order-giving process described in art 908.

4. Final. Thanking a man when he departs from a job is very important. When particular credit is due, he should receive an appropriate expression of gratitude so that he will depart from the section with the feeling of a job well done.

1105. COUNSELLING

Counselling is defined as the discussion with a subordinate of his problem with the intention of arriving at a solution. In contrast to interviewing, there are certain principles and techniques which can provide a guideline to the counsellor. Once he has learned these principles and techniques, he can develop his own particular skills through practice. Understandably, the counsellor must command the confidence and trust of those he counsels. Therefore, he must have a sincere interest in people, and an understanding attitude toward their problems.

1106. OCCASIONS TO COUNSEL

1. Corrective. If a man's performance is continuously unacceptable and he has been warned on several previous

occasions, disciplinary counselling becomes necessary. He should be told tactfully, yet firmly, exactly what his faults are and what improvements are required. The use of the "sandwich technique", which is described in art 1108, is an appropriate method of conducting corrective counselling.

2. Problems. Many persons, at some time or another, need assistance in solving their personal problems. Whether a problem stems from something on or off the job is relatively unimportant. Each man possesses a complex system of emotional tensions, and a problem in one aspect of his life may well affect other aspects.

1107. OBJECTIVES OF COUNSELLING

1. The objectives of counselling are to improve the morale of subordinates, to increase efficiency, to increase loyalty, and to improve acceptance of change. The following are functions which assist in meeting these aims:

- a. Advice. Although counselling may include advice-giving, this is but one of several functions. Advice should not be given freely because the man may not agree or wish to follow it, and, if he tries it and failure results, he will blame the counsellor. Free advice-giving is usually dangerous and a better approach is to aim at guiding the man towards his own solution to the problem.
- b. Reassurance. Counselling can provide reassurance to a subordinate by giving him courage to face a problem. One precaution, however, is that the man may not accept the notion that the difficulties can be overcome, and even if he is reassured at first, his courage may disappear when he begins to take action. Sometimes reassurance is quite dangerous. If, for example, the counsellor assures a mentally ill person that he is "all right", this may keep the man from seeking professional treatment.

- c. Communication. Counselling can improve both upward and downward communications. In the downward direction, leaders assist subordinates in understanding policies and procedures when emotional problems relate to these matters. Upward communication is improved in that the leader can often obtain feedback regarding the feeling of his subordinates.
- d. Emotional Release. People tend to derive an emotional release of tension from telling someone about their problems. As a person begins to explain his problems to a sympathetic listener, his tensions subside. This release does not necessarily solve problems, but it does help in removing emotional blocks to the solution.
- e. Clarified Thinking. Since problems are usually magnified to troubled persons, the counsellor can act as a catalyst in assisting them to see problems in their proper perspective and thus bring about more rational thinking. Not all the clarified thinking takes place during a counselling session. Part of it may take place later, as a result of developments during the counselling. The result of clarified thinking is that the decision a person makes in terms of his emotional problem will be a more realistic one.
- f. Reorientation. This involves more than mere emotional release or clear thinking about a problem. It involves a change in basic goals and values. The person must be made to realize his own limitations. Reorientation is required for persons who deviate from normal acceptable behaviour. Treatment of such conditions is primarily the task of professional counsellors who have technical training in personality analysis. Notwithstanding this, a leader should recognize those in need of reorientation before their need becomes critical, so that they can be referred to formal counselling personnel such as padres, welfare officers or, in the case of suspected mental illness, medical officers.

1108. APPROACHES TO CORRECTIVE COUNSELLING

1. Counselling to correct disciplinary problems is best handled by use of the "sandwich technique". This approach may be carried out in one of two ways depending upon the severity of misconduct.

2. In less severe cases, the sandwich technique would consist of:

- a. initially putting the man at ease by stating the favourable points on his behalf;
- b. emphatically stating the deficiencies in his conduct and what improvements are required; and
- c. allowing him to state his side of the story establishing the validity of your criticism, and permitting him to regain his composure before leaving.

3. In more severe cases, however, a reserve sandwich technique is recommended whereby the man is kept standing properly at attention throughout the session, which should be conducted as follows:

- a. confront the man with his shortcoming in no uncertain terms (verbal blast);
- b. allow him to give an account for himself, so that the reasons for his shortcomings can be considered; and
- c. when he is finished, re-emphasize his deficiencies so that he departs with the full impact of knowing why he has been reprimanded and what action he must take to correct his deficiencies.

1109. APPROACHES TO PROBLEM COUNSELLING

1. A personal problem may be discovered in several ways. When an appointment has been made through the

chain of command and a man is seated in private with his officer, he may state his problem directly or conceal his underlying difficulty behind some other pretext. The most difficult people to handle are those who are reluctant to take their problem to anyone. Here it is up to the leader to know his men well and to recognize the signs of problems. Some indications would be: a decrease in work level; an increase in alcohol consumption; a loss of cheerfulness, decisiveness, or effectiveness; or merely odd behaviour.

2. The counsellor must realize that no one can solve another person's problems. What can be done, however, is to give assistance and guidance. The following are suggested procedures for problem counselling:

- a. Before. Plan for the session as much as possible by checking the man's personal file and other sources. Make an appointment and keep it. Allow for sufficient time to spend with the man. Provide for privacy and eliminate distractions.
- b. During. Try to make the man feel at ease so that his confidence is gained. If a definite relationship is not established, he will not confide openly. Have an honest interest in him and what he wants to say. Permit him to talk freely but maintain control by not letting yourself be side-tracked. Most important, listen attentively, and exercise patience and tact throughout. Observe not only what he says, but also what he avoids saying, what he is unable to say without help, his voice intonations, and his physical gestures so that a full account of the situation is obtained. Taking notes during the session might arouse suspicion. Hence notes should be taken only if absolutely necessary, e.g., financial problems.
- c. After. Record all information, impressions, and interpretations immediately after the session so that, if the man returns in the future, background information is readily available. Arrange some means to ascertain what progress has been made by him in solving his problem. Finally, ensure that the matter is held in strict confidence.

3. There are several methods of problem counselling but they are typically directive, non-directive, or a combination of both, which is called co-operative counselling. Directive counselling is generally less time-consuming, but when problems are more emotional in nature, non-directive counselling might well be more appropriate in releasing emotional tension and clarifying thinking. The main difference between the directive and non-directive techniques lies in whether the counsellor or the man provides solutions. The steps involved in conducting these types of counselling are as follows:

DIRECTIVE

NON-DIRECTIVE

Put the man at ease (relaxed atmosphere)

Get him talking

Be attentive

Establish the problem*

You suggest solutions

He suggests solutions

He selects the best solution (his responsibility)

Ensure that he is convinced

Confirm the plan of action

Assure him he is welcome to return if necessary

Record information (keep confidential)

Follow-up (obtain feedback)

*Important. If, when the real problem is ascertained, the counsellor feels he is unqualified to proceed, he should not hesitate to refer the man to professional help, e.g., padre, welfare officer, medical officer, etc., and his main responsibility lies in motivating the man to avail himself of the proper professional counselling service.

1110. SUGGESTED COUNSELLING RULES

1. To increase the probability of success, the counsellor must help the man to "open up" rather than to "freeze up". Observation of the following suggested rules should prevent adverse results:

- a. pre-establish the purpose of the session;
- b. prepare and plan beforehand;
- c. counsel in private, undisturbed circumstances;
- d. respect the interests and individuality of the man;
- e. help the man feel at ease by inspiring trust;
- f. keep the conversation going but do not dominate it;
- g. avoid questions which require merely a "yes" or "no" reply;
- h. avoid "why" questions as they force a defensive stand;
- j. keep views and opinions to yourself;
- k. realize your own limitations;
- m. refrain from giving unqualified advice;
- n. refrain from passing value judgements;
- p. avoid overcontrolling;
- q. do not become side-tracked for lengthy periods;
- r. close the session positively;
- s. record information, impressions, and interpretations;
- t. keep the matter confidential;
- v. follow-up unobtrusively.

1111. COMMON ERRORS

1. Perception. Unless the counsellor is careful, he sees and hears only what he wants to see and hear. He may interpret the man's words and actions only in terms of his own opinions and prejudices. As an example, two thousand vagrants were interviewed to determine the cause of their downfall. One interviewer, a social worker reported that 39 per cent were down and out because of bad working conditions and 22 per cent because of alcohol. Another interviewer, a prohibitionist, believed that only 7 per cent of vagrancy was caused by industrial conditions, but that 62 per cent was caused by the demon rum. Each had asked the same questions, but their conclusions were influenced by their own beliefs and prejudices.

2. Appearance. The counsellor's prejudice and impulsive judgement may cause him to judge from appearance only. Something in the appearance, manner, dress, or expression of the man reminds the counsellor of another person. This error is committed by the counsellor when he assumes that all other characteristics of the two people are the same.

3. Generalization. It is tempting to say that a person who is well-groomed will be a neat worker, or that a slow speaker is a slow thinker. Errors in generalization are based on the belief that a person's habits are transferred from one situation to another. This, of course, is often untrue. For example, it is unsafe to assume that because a man is honest in money matters he is honest in everything.

4. Imitation. Unconscious imitation is another common error. In varying degrees, all people tend to imitate the moods and manners of those with whom they converse. Show a picture of a smiling person to a group and the reaction is to smile. If the picture is of a sour-faced person the group reacts accordingly. In counselling, the tendency to imitate can lead to adverse results. For example, the counsellor should avoid imitating a pessimistic or other undesirable mood. He should, rather, create and transfer to the man moods which will promote a friendly, purposeful atmosphere.

5. Face Value. Taking statements at face value and believing everything heard can lead to misunderstanding. For example, a person describing his job performance may exaggerate his abilities. Prevention of this type of error can be effected by the use of cross-examination. Follow-up questions will often prove or disprove a point.

1112. SUMMARY

1. Interviewing has common application in military situations, particularly in initial, performance, assignment and final interviews. Interviewing is a form of communication directed towards aiding, guiding, or understanding men.

2. Counselling can be employed in correcting disciplinary problems by using either of the sandwich techniques, and in personal problems by using either directive, non-directive, or co-operative techniques. The functions of counselling are to provide advice, reassurance, communication, release of emotional tension, clarified thinking, and reorientation in the interests of reducing problems. Several rules should be observed to aid the leader in helping the man to "open up" rather than "freeze up". Common errors to avoid are those attributed to perception, appearance, generalization, imitation, and face value.

3. Generally speaking, counselling is employed to keep small problems from becoming larger. Good listening is of utmost importance to the counsellor. Listening involves not only hearing what the man says, but also observing what he avoids saying, what he is unable to say without help, his voice intonations, and his physical gestures and expressions, in order to achieve more accurate interpretation.

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CHAPTER 12

PERFORMANCE EVALUATION

1201. AIM

The aim of this chapter is to provide an understanding of the purposes and applications of evaluation, the characteristics of a good assessment system, evaluation methods, rating, writing narratives, the disposition of reports, and performance interviews.

1202. INTRODUCTION

The future effectiveness of the Canadian Forces depends largely upon the most competent personnel reaching the higher levels of command. Promotion to these higher levels is directly influenced by personal assessments. Therefore, accurate evaluation of men increases the probability of fitting the right people to the right position. Moreover, impartial and accurate evaluation is vital to morale, confidence in the system, and proficiency. Many junior officers are required to evaluate men, and must know, therefore, how to assess carefully and fairly.

1203. PURPOSES AND APPLICATION OF EVALUATION

1. Evaluation provides the leader and the personnel branch of the Services with information:

- a. to identify those personnel best qualified for promotion;
- b. to allocate special assignments according to the singular abilities of certain personnel;
- c. to assist those capable of improving their performance;
- d. to eliminate those who

- (1) cannot develop the required abilities, or
 - (2) are unable or unwilling to assume responsibility; and
- e. to determine each man's effectiveness in the performance of his duties.

2. The most significant documents on a man's personal file are his performance evaluation reports. In the interests of both the Services and the man these assessments must be as valid, accurate, and objective as possible. As an example of poor evaluation leading to undesirable conditions, there have been instances of individuals being promoted or transferred to jobs demanding great responsibility when it was in fact known to many that they were misfits. This occurred probably because their files did not reflect their deficiencies. Thus, because of improper reporting, the efficiency of the Canadian Forces was impaired, and other more deserving men were denied promotions.

3. The types of evaluation reports found throughout the Canadian Forces are numerous and varied. Therefore, instructions on how to fill out specific forms will not be given in this volume. Since the forms have common evaluation factors, however, certain basic principles and guidelines will be advanced.

1204. CHARACTERISTICS OF A GOOD ASSESSMENT SYSTEM

1. To provide the information required, an assessment system must satisfy several criteria. Although some reports in existence at present do not satisfy all these criteria, the leader should realize what characteristics are typical of a good assessment system. According to HO Preston, who carried out evaluation studies at the USAF Human Relations Research Laboratories, the important criteria are as follows:

- a. The categories of assessment must be based on job analysis and expressed in language meaningful to those who use it. They must be stated in terms of what a good officer does rather than in terms of qualities a good officer possesses. For example, courage, personal force, intelligence, and sociability, regardless of how important they might be as qualities of a good officer, cannot be observed directly, but must be inferred from what is seen. A technique which defines the good officer in terms of his behaviour reduces the necessity for inference and enhances the probability of an objective assessment.
- b. The method must be reliable in the sense of consistency of results if immediately repeated.
- c. The results of an assessment should ultimately be expressed in numerical terms.
- d. The system should be useful for overall administrative purposes and at the same time be of value for counselling and training.
- e. The content must be the elements of job performance that have been found to be specific and are defined at various levels of proficiency. The more important elements should have greater weight in determining the overall rating.
- f. The results should as much as humanly possible be free of personal bias.
- g. The assessment system must "spread out" the ratings to show up the real differences that do exist among men.
- h. The format must be easy to complete and as much as possible self-administering in the sense that it will not be necessary to conduct a training course at every rating period for the purpose of getting all raters to follow the same standard of assessment.

- j. Ideally, the method should make provision for "rating the raters", to permit evaluation of the ratings.
- k. A good assessment system should be backed up by recording "critical incidents" on actual occurrences which support the assignment of high or low grades. Again, performance and not inferred qualities must be stressed. (See art 1205-1c.)
- m. Finally, the assessment procedure should be practical in the sense that the results may be obtained, recorded, evaluated, and summarized economically.

An example of an assessment system embodying the above characteristics will be found in Supplement "A" to this volume, entitled "Officers Leadership Assessment Instructors' Handbook." This Supplement was prepared for the assessment of Canadian Army officer cadets and issued to users in advance of this manual.

1205. EVALUATION METHODS

1. Evaluation forms should contain not only the characteristics which satisfy the criteria in art 1204, but also the rater's most objective opinions of a man. The several methods of evaluation in use in the Services are as follows:

- a. Ranking Method. In this method the rater arranges his men in rank order from the best to the poorest. This method has the advantage of simplicity but the disadvantage of assuming that differences between ranks are the same. Another disadvantage is that, when a great number of persons are rated, it is hard to differentiate between them. This method is employed to a limited extent in training reports.
- b. Graphic Rating Scale Method. In this method each characteristic to be rated is represented by a line or scale on which the rater indicates the degree to which a man possesses a certain characteristic. This method is in widespread military use, an example being as shown:

CNS 4002

SCORING SCALE

FOR THE EVALUATION OF LS-AB

(Assess Man in Present Rank - Trade Group)

Low Performance		Normal Performance				High Performance	
0	1 2	3 4	5	6 7	8 9	10	
 Unacceptable	 Well Below Requirement	 Below Requirement	 Meets Requirement	 Exceeds Requirement	 Well Above Requirement	 Outstanding	
Notes: 1. "Requirement" is defined by rank and trade specifications contained in MAP. 2. Rank items not observed shall be so marked. 3. In rank evaluation, items scored 0, 1, 9 or 10 must be substantiated.							

Figure 12-1 Sample Graphic Rating Scale

- c. Critical Incident Method. This method involves identifying, classifying, and recording critical incidents in a man's behaviour. An incident is "critical" when it proves that the man has done, or failed to do, something that results in unusual success or unusual failure in some aspect of his work. Critical incidents are facts. This method involves observation of critical incidents and entering them under the appropriate heading on a record sheet maintained on each man. Under each heading on the sheet is a "good" column and a "bad" column, and entries are made according to whether the man displayed particular strengths or weaknesses. The method, therefore, emphasizes the importance of recording both strengths and weaknesses in specifically categorized areas, and helps train officers in how to evaluate their subordinates, as well as providing specific material for discussion in performance interviews. This method can be very effective since it provides concrete information for assessments and for discussion. Despite its merits the method has enjoyed limited use in the Services to date.
- d. Forced-choice Method. This method requires the rater to indicate with an "x" those statements which are descriptive of a man. The effect of bias can be reduced somewhat by random distribution of the statements so that they are not in order from poorest to the best. Scores and weighting factors are applied after the assessor has turned in the report. Limitations of the method are that it can cause frustration in raters, and cannot be used as effectively in advising men of needed improvement as well as some other methods. However, since this method is accompanied by a narrative in most military reports, particular strengths and weaknesses can be drawn from the narrative when following up the assessment with a performance interview. This method is used quite extensively in the Services, a typical application being shown in Figure 12-2.

4. SELF-CONFIDENCE

The degree to which he displays confidence in his professional and social activities.

- Has moderate confidence in his social and professional abilities..... ☐
- Overconfident. Inclined to be overbearing..... ☐
- Generally confident and at ease. Can support his case without being objectionable ☐
- Timid, easily subdued, a poor mixer ☒
- Has a sound estimation of his abilities and acts with ease and confidence ☐
- Generally unassertive, but sometimes stands up for his beliefs ☐

Figure 12-2 Sample Forced-choice Rating

- e. Free-form Evaluation Method. This method is employed extensively in the Services in that it comprises the narrative portion of reports. While it provides for a description of the man's performance it is advantageously combined with one of the previous methods such as the graphic rating scale. One limitation of the method is that it relies upon the writing style of the assessor. A man's promotion opportunities are often enhanced through being assessed by an officer who is particularly adept at writing, whereas a poor writer can damage a man's career. Therefore, all assessors must be fully competent in writing narratives.

f. Other Methods. Other methods of evaluation are in use to a small degree but their significance warrants little discussion other than to mention that they are such types as:

- (1) Paired Comparisons Method. Comparing each man with all others in the group.
- (2) Forced Distribution Method. Placing each man into a pattern that conforms to the normal curve of frequency distribution.
- (3) Man-to-man Method. Rating men in the group to a master scale which names other men known to the assessor.
- (4) Check-list Method. Checking all statements on a list which are indicative of a man's behaviour.

2. Certain methods of evaluating exist in relationship to the person who does the assessing. Performance evaluation reports are done in an orthodox fashion in that a man is always assessed by his immediate superior, provided the superior is of higher rank. If he is not of higher rank, the next man upward in the chain of command, who is of higher rank, completes the report. However, there are other specific occasions when a departure from the normal rating of subordinates occurs and "peer ratings" are used. Peer ratings mean that each member of a group rates all other members of the group. Peer ratings are deemed to be quite valid, despite tendencies to rate friends and "popular" members higher because an average result from several persons is obtainable on each person, and because group members often know each other better than the superior does. However, evaluation results are normally weighted and based upon a combination of peer ratings and ratings by the superior.

1206. RATING

1. Before anyone can be assessed, personal knowledge based upon observations of work and personal characteristics must be obtained. Experience has shown that a minimum of three months is required for such observations to be acceptable. It may even be longer owing to leave, absence, or sickness. If sufficient knowledge is not available, a deferment of the report should be requested, giving a specific date when it will be forwarded. Any attempt to assess a person when knowledge is scanty can result only in a mediocre or average report, which will prove of little benefit either to the Services or to the man.

2. It is of utmost importance to ensure that any low assessment is correct before it is recorded. With regard to low assessments, a person must be warned ahead of time, ideally through a performance interview, of any deficiencies which may ultimately be mentioned in the personal assessment. In other words, personnel should be given the opportunity to "pull up their socks" before faults are recorded on their file.

3. If men have serious shortcomings, counselling must be conducted long before the personal assessment is made. A Statement of Shortcomings should be completed if it is anticipated that the man is likely to receive an "adverse" (unacceptably low) report. Counselling then ensues, and if deficiencies have not been rectified by assessment time, the report is filled out accordingly. The assessee is requested to sign the report by way of acknowledgement. However, it is essential that a man does not initially learn of his shortcomings by reading his report. To the contrary, he must be warned well in advance.

4. It is a human failing to remember bad points in a person's character or actions, particularly if they are recent, and thus nullify what may otherwise have been unblemished performance during the entire evaluation period. For example, if a person makes a mistake in the week prior to assessment, the incident may adversely affect the assessor's opinion of the man. However, the person's worth during the entire period should not be neglected because of any single, recent incident.

5. Care should be taken not to over-assess. The tendency to do so may result in placing the person upon a pedestal, a false position which he will be expected to maintain at his next unit. If he has been over-assessed his subsequent reports will be lower and will thus indicate a decline in proficiency, when in reality he has not changed. Undeserved or unwarranted high ratings not only reduce the validity of assessments, but also prejudice the reputation of the assessor and compromise the man being assessed.

6. To prevent the submission of unwarranted high or low assessments, and to assist in educating officers in the use of a common standard, the next senior officer should review, with the assessing officer, those assessments which he considers to be inaccurate. In addition, very high or very low ratings must be accompanied by amplifying remarks in the narrative portion of the form.

1207. WRITING NARRATIVES

1. General. Most reports contain a narrative section, which incorporates the method of free-form evaluation. When completed, this should contain a written description of a man's ability, character, and potential. It is of utmost importance that narratives be written in keeping with good service writing in that they should be clear, concise, coherent, and correct. To ensure that narratives are as valid as possible, several suggestions are worthy of consideration.

2. Content. The writing of narratives should be preceded by careful planning of what is to be said. The narrative must not contradict what appears in the rating section. Since the narrative represents a word picture of the man's ability, character, and potential, it is suggested that a short paragraph to be made for each one of these items:

- a. Ability. To be mentioned here are such factors as a man's competence, his capability to lead, how well he exerts his influence, and generally how well he measures up.

- b. Character. Evaluation of character should include such items as the man's stability, honesty, sense of humour, tact, attitude, and social courtesy - in other words, what sort of man he is.
- c. Potential. In this paragraph should be included recommendations for promotion, assignments, commissioning, etc. The man's ability should be weighted in such areas as meeting and working with foreign nationals, administrative potential, or executive potential. It should contain the forecast of his future capabilities. The citing of examples of performance is recommended because they also assist in substantiating rating results.

3. Style. The use of the first person tends to produce a more accurate assessment, because it is emphasized quite forcibly to the writer that he is staking his own reputation as an assessor. Another suggestion is that picturesque language be used to provide a good description. However, picturesque language should not be used unless it applies, and flippancy or facetiousness must not appear on confidential reports.

4. Choice of Words and Expressions. The assessor must take the following into consideration.

- a. Write What is Meant. Typical offenders are the assessors who are too busy to take time to check their dictated or written word. Consequently they sign something they really do not mean. An example of this is the statement "this nursing sister is very shy; however, it is felt that given a little more, she will make a very adequate service officer". Sometimes meaning is distorted or unclear due to poor choice of words. For example, the statement "he appears to be punctual" raises doubt as to whether the man is punctual or not.
- b. Avoid Wordiness. The more a narrative rambles on with verbal garbage, the less justice is done to the man being assessed.

- c. Avoid General Inference. Scanty phrases do not imply the same interpretations to everyone. For example, writing merely the phrase "Scottish origin" in a narrative does not convey to everyone what is meant, if anything. Moreover, statements as to racial origin or other possible prejudicial factors are improper on a confidential report.
- d. Avoid Backhanded Compliments. Statements like "this man has stopped his heavy drinking" sound complimentary in one vein, but sneakily portray a detrimental image at the same time. The fault or the merit should be stated separately, not together in one sentence, so that misinterpretation will not occur.
- e. Avoid Words of Detrimental Connotation. Some words should be used sparingly and carefully as they can damage men's careers through incorrect connotations. Examples of these are
 - (1) quiet - implies meek, mild, and mousy,
 - (2) improvement - degree is uncertain unless expressed,
 - (3) young - implies immature, puerile,
 - (4) average - damns with faint praise, and
 - (5) adequate - implies mediocrity.

5. Conclusion. As much time as necessary should be spent in producing a valid assessment. The assessor should not attempt to conclude his narrative with a facetious punchline. This practice reflects poorly on the assessor and can be unfair to the assessee.

1208. DISPOSITION OF REPORTS

1. All reports are forwarded up the chain of command for review by superior officers, and are ultimately placed

in a man's personal file. Copies of personal files are located at the man's unit, CHQ, and CFHQ. However, evaluation reports are not kept on the unit file to prevent details contained in prior reports from colouring the assessor's views when writing current assessments.

2. If a man is both eligible and recommended for promotion his reports are forwarded up the chain of command and accompany his file for consideration by promotion boards. Since regulations vary for different ranks and different branches of the Services little can be said about the frequency of submissions and procedures in use except to caution the assessor to follow instructions carefully as to how reports are to be completed and when they are to be submitted. Usually the assessor does not score a report since this is done with a secret scoring key further up the chain of command.

3. Differences exist in many areas of the Services as to whether or not the assessee is permitted to see his report. Those agencies which forbid the practice contend that if a man's report is good he would tend to be complacent. Another contention is that the man might influence the assessor to alter his report. However, when the discussion of rating results is permissible, reports can be used effectively as a basis for motivation through performance interviews. While there is not universal acceptance of the belief that rating results should be discussed with subordinates, performance interviews based upon assessment have many advantages if they are properly handled. They assist a man in appreciating his strengths and weaknesses. Recognizing previously unknown weaknesses can well provide motivation to improve. Since some of the unwillingness to discuss ratings with men stems from a feeling of inadequacy on the part of their leaders, the best way to solve the problem is for raters to improve their interviewing skills.

1209. PERFORMANCE INTERVIEWS

1. It is up to the leader to tell a subordinate frankly how he is measuring up to his job, and to give him specific help in correcting deficiencies so he will know exactly how to

improve. Every supervisor knows this fact, but some fail to do it because it is unpleasant to criticize. But the unpleasantness of fault-finding, even intended constructively, is no excuse for a leader to side-step his responsibilities.

2. You are not doing anyone a favor by soft-peddalling his failures. Sooner or later he will face a reckoning. He will not thank you for letting him muddle along believing that everything is all right, only to penalize him later for incompetence.

3. If there is too long a time between job-performance discussions, the results will not be as effective. Talking to a man from day to day about his job can be done naturally, without throwing either specific criticism or praise out of balance. You should discuss particular incidents while their details are fresh.

4. However, if you suppress criticism to spare feelings, you may build up resentment and become privately over-critical. Some fault, possibly minor, will finally trigger your temper and you will be likely to throw the book at the subordinate. This kind of criticism, given in anger, almost certainly won't help him, and may generate hostility toward you.

5. In addition to the interviewing principles advanced in Chap 11, here are some suggestions for developing subordinates through constructive criticism in performance interviews:

- a. Emphasize the Strong Points. Each person has his own skills, talents, abilities, and interests. Refrain from spending all your time correcting faults when it might be better devoted to cultivating strengths.
- b. Don't Search for a Formula. There is no best way to talk to a subordinate. Your success depends largely on your attitude. If he sees that you are interested in helping him help himself he will take criticism and advice as they are intended.

- c. Don't Rely Completely on the "Sandwich Method". If you first praise a man, and then point out his errors before ending the interview with a pat on the back, you telegraph your punches. Everytime you compliment him he thinks, "Well, here it comes. What have I done wrong now?". Or he may be so flattered by the praise that he ignores or forgets the criticism.
- d. Note Improvements. If a man profits from your advice or criticism, say so promptly. Recognition of his progress will encourage him to do even better.
- e. Be Specific. Vague generalities such as "I don't like your attitude", or "You must do a better job", seldom pay off. Tell the man where he is falling short and precisely what he can do to improve himself.
- f. Watch Habit Patterns. Careless practices (tardiness, early wash-ups, visiting, or a decline in normal proficiency) should be corrected before they become big problems.
- g. Make Your Criticism Job-related. Direct your criticism at the way the man does his job, not at him personally. If some emotional problem is affecting his work (alcoholism, family difficulties), you may have to bring this up. A sympathetic talk may be all that's needed; but if worries are destroying his work efficiency, advise him to seek professional help.
- h. Ask Questions. Get his story. Maybe when you hear it you will agree that some of your criticism is unfair. Perhaps you are censuring him for failing in a part of his job for which he has never received proper training.
- j. Don't Criticize a Man for Faults he Cannot Help. If a man cannot do a job because he is simply incapable, criticism will not help. He is in over his head. Perhaps the best thing you can do is to let him know that you realize his predicament and

will help him find a way out. A transfer, less responsibility, or even a more suitable job elsewhere may be the answer. Try to cushion the blow with a sincere display of concern.

- k. Don't Try to be Funny. Don't wisecrack about a man's shortcomings. If you don't take his deficiencies seriously, he may not either. Or he may silently but furiously resent your ridicule.
- m. Don't Argue. Give the man a chance to tell his side of the story. If his objections to your opinions have merit, revise your thinking, but never debate. The only way to get a man to want to improve is to win his agreement on what his basic shortcomings are.

1210. SUMMARY

1. Evaluation serves many purposes in the Services. The writing up of performance evaluation reports must be done impartially and accurately if these purposes are to be fulfilled. A report should satisfy the suggested criteria as much as possible to effect maximum validity. To perform this, several evaluation methods are available; and it is seen that a combination of at least two of the methods discussed can render a valid picture of a person. For example, many reports in the Services combine the graphic rating scales with a narrative. In writing narratives several guidelines have been suggested to give a clear and correct word-picture of the person in terms of his ability, character, and potential.

2. Reports are forwarded up the chain of command to be scored, and included on a man's file, so that they may be reviewed by promotion boards when the man becomes eligible and recommended for promotion. Reports have the additional value of use for performance interviews, should the assessor be permitted to use them for this purpose. Performance interviews are of particular merit in that they help motivate men to better performance, as well as assist in correcting weaknesses. Suggestions to assist the leader

in conducting performance interviews have been outlined, and observance of these steps should lead to effective results. As a final consideration it would be worth while for the leader to appraise himself before he embarks upon evaluation of his men, so that his own deficiencies may be recognized and kept from influencing the assessment.

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CHAPTER 13

THE PROFESSIONAL OFFICER

1301. AIM

The aims of this Chapter are to discuss the professional responsibilities of an officer and to consider certain principles which the professional leader should strive to follow throughout his career. It will also provide a bridge from leadership to management and so introduce the subsequent volume CFP 131(3), Management for the Professional Officer.

1302. INTRODUCTION

1. Whatever the criteria for professionalism, there is no doubt that the military officer is a true professional in an occupation demanding the highest standards of ethics and performance. An officer is a professional in the sense that he is dedicated to a cause which has, as central to its social organization, a series of deeply held values. The professional officer possesses a large fund of specialized knowledge, the ability to develop further resources from within himself, and the ability to work constantly towards the achievement of his profession's demanding objectives. Not only does the officer strive to achieve and portray professional competence but he must show unflagging dedication and singleness of purpose for twenty-four hours of the day; the primary objective, the defence of Canada, cannot be ignored in the evenings. The qualities and requisites of a leader are integral parts of the officer's character. His work, his leisure, and in fact his whole way of life are influenced by the role he plays as a professional in the officer corps of Canada.

2. As a professional, the officer has obligations and responsibilities which he cannot shirk. He must strive constantly to maintain and surpass the standards of his profession; he must stay abreast of the latest developments in his specific field and also increase his knowledge of other fields. The officer must loyally pursue and strengthen

the country's security in spite of the public's often disinterested attitude. Subject to rigorous discipline he must frequently work long hours in remote places, at a financial return hardly comparable with that of his civilian counterparts. An officer is a professional of the very highest calibre. He does what he does, not for mere financial reward but because of his beliefs and the need he feels to adhere to higher ideals. He professes and upholds his belief in the moral responsibilities of citizens to defend, with their lives if necessary, the country to which they owe their allegiance.

1303. RESPONSIBILITIES TO THE SERVICE

1. The young officer has many responsibilities to the Services which fall outside the normal line of duty but upon which the public image of the Services depends to a large degree. As both a military and moral leader, the young officer must set an example in attitude towards the Services in order that his followers will recognize and emulate his loyalty to supervisors and his support of established customs and traditions of the Services.

2. Because the Canadian people are generally unmilitaristic in outlook, the responsibility of an officer to project a true image to the public is most important. As a professional, he must not only be able to discuss military matters but must be able to move freely at all levels of society and discuss intelligently such matters as the political, social, and economic aspects of international relations. Such social accomplishment comes only with education, and the young officer must realize that his career will be one of constant learning and development. He must plan for himself a course of serious reading which will broaden his horizons, strengthen his powers of reasoning, and reinforce his professional and academic knowledge.

1304. RESPONSIBILITIES TO FOLLOWERS

1. A complete list of responsibilities to followers will not be attempted but a few of the more important ones will

be discussed. They all have one factor in common: the fact that the leader is responsible to his superior for the actions and welfare of his men at all times.

2. The appointment to a position of command carries with it, as part of the integral responsibilities, the need for example, decision, and action. Men must be led; they look to their officer for leadership. An officer is selected and appointed to his position of trust and confidence because of his potential as a leader. He must live up to that potential since an officer who cannot lead presents an absurd paradox. Leading men is his prime responsibility.

3. Perhaps the one task that is common to all leaders, no matter what their appointment, is the responsibility of training and developing subordinates. Today's trainees are tomorrow's leaders. Training, however, is not restricted to formal instruction in weaponry or academic subjects; it involves also the growth and development of subordinates through the exemplary conduct of the leader himself. Men will fashion their behaviour after a man they admire and respect. The officer appointed to command is, by his very position, the formal leader; his men will follow and obey him until he establishes himself as a true leader, and then forever, or until he fails and thereby loses their confidence.

4. Men do not expect their leader to be perfect but they do look for personal example, professional competence, interest in their affairs, impartiality, and those other factors which directly influence morale. A leader must be interested in his men, know them personally, and support them fully. He is often their last court of appeal. The good officer is far more concerned with the interests and welfare of his men than he is with those of his messmates.

1305. THE OFFICER CORPS

1. The commissioned officer in the Canadian Forces is a privileged member of the officer corps. This corps has 15,000 members, all dedicated towards the same aim. He, as a full member, is accorded the respect of commissioned

rank, is a member of a thousand exclusive clubs, and carries the full trust of his superiors - privileges reserved only for the highest professions. Privilege, however, is contingent upon full discharge of responsibilities, and no man is entitled to expect privileges until he has earned the right to claim them.

2. As a member of the officer corps, it is a man's duty to display absolute and uncompromising integrity of character. He must live honestly by a code of ethics, influenced to a large degree by the customs and traditions of the Services. He must not compromise himself or the officer corps for selfish motives. While in peacetime it may be difficult to appreciate the mutual and far-reaching benefits of membership in this elite corps, in wartime the terms "comradeship" and "brother officers" take on entirely new meanings. The spirit of fraternity within the officer corps must be fostered and strengthened so that, in the event of war, the leaders of the Canadian Forces do indeed epitomize professional competence.

3. The young officer should embrace and support the rules of conduct that have been discussed in earlier chapters and which are known as the "military way of life". In this support he should not allow his personal integrity to become clouded. Inevitably, in pursuing his career in peace and war, he will be faced with situations which present an element of risk. If his position is a valid and considered one, he should be steadfast and persistent, yet retain respect and discretion in dealing with others.

1306. THE SUCCESSFUL LEADER

1. No formula for successful leadership has yet been found. It is extremely unlikely that one ever will be. This volume has explained what a leader does and what some leaders have been and has discussed the other factors concerning the performance of a junior officer's duties. There are certain qualities of leadership which have been found common to almost all leaders and these are felt to be worthy of further consideration.

2. All successful military leaders were decisive, determined, and energetic. They were also self-confident. To be determined, one must have moral conviction. This moral conviction, along with self-assurance and decisiveness, will come only through knowledge. Energy and vigour are dependent upon either physical fitness or drive and determination. Since knowledge is obtained only through study and the continued application of an open and inquiring mind, it can be inferred from the foregoing that knowledge and determination are perhaps the two fundamental requirements of leadership. A man must want to succeed; and he must know how. A note of warning should be sounded here against the exchange of integrity for ambition. Captain Roskill, RN, has stated "Though it is right for the young officer to be ambitious, and to set his sights high, there is danger in allowing ambition to become one's predominant motive. For uncurbed ambition can turn a man into that most despicable of individuals -- the sycophantic place-hunter. Such a man is at once recognized by his subordinates for what he is; and he will never accomplish anything lasting in the field of leadership. Furthermore, it is the over-ambitious man who, when he fails to achieve his object, turns his frustration into bitterness against others -- against his more fortunate brother officers, or even against his whole Service; and that means the lasting destruction of his personal happiness and the happiness of those nearest to him. By all means strive to rise in your Service. But make sure that your rise is achieved only through your own genuine skill, hard work, and merit. If you will aim to develop the qualities we have here discussed your upward progress will be far smoother, and more assured, than if you are guided by ruthless ambition. And if, as is inevitable for the great majority of us, your achievements fall far short of your hopes, you will at least have nothing to reproach yourself over."

3. The successful junior officer will constantly seek to improve his mind. He will develop sound study habits, striving to widen his understanding of the role the Services play in world affairs. Developing curiosity and an open mind towards the study of current events in weekly magazines is a simple way of staying abreast of the international situation. To understand better the qualities which famous

leaders employed to their advantage, the young officer is advised to read and study biographies, autobiographies, and books relevant to his particular sphere of interest. The young officer is further urged to widen his horizons, to develop an interest in every facet of his career, to search always for efficient short cuts, for new ideas, and for self and service improvement. The average person goes through life at approximately 60 per cent efficiency -- and is often bored. The truly professional officer should work and play to capacity so that he may keep up with ever-accelerating technological advances.

4. One last quality of successful leadership which must not be forgotten is courage. Courage does not mean lack of fear. On the contrary, it means that in spite of fear and misgivings the aim is pursued without concern for personal safety. Courage is often defined as the ability to withstand personal fear and allow the spirit to take over. It is the placing of Service before self. The modern trend in society has been towards security. This search for security has sapped energy and weakened initiative. (It is worth noting here that the most secure person is he who serves life imprisonment in solitary confinement. He has no responsibilities, no plans, no expectations, no hope.) Junior officers must have physical and moral courage. They must have courage and faith in themselves, in their role, and in Canada. Their followers expect it of them. An ancient fable says "a herd of deer led by a lion will prevail over a herd of lions led by a deer". The leader is the lodestar and the key stone of the group. He, and he alone, can guarantee the accomplishment of a mission. Only he can generate the courage and provide the impetus to victory in the face of seemingly overwhelming odds. That famous epigram of General Foch exemplifies the importance of the leader: "It was not a Carthaginian Army which crossed the Alps, it was Hannibal."

1307. CONCLUSION

1. This chapter has spoken of leadership as a profession and has opened some avenues of thought for the young officer. The volume has laid down guide lines to help the officer in

most of his duties and it has attempted to describe and define the elusive art of leadership. To the extent that the young officer is prompted to continue further study of his profession, this volume has succeeded in its aim. However, just as time does not stand still, neither does the role of the officer. With his progression up the career ladder, having in mind the increasing diversity and complexity of equipment, the leader will find himself in need of further help in managing his resources, both human and material. Good management is rapidly becoming a prime requisite of all officers.

2. While leadership cannot easily be defined in terms of absolutes or mathematics, military management can. It is a systematic application of scientific techniques for the efficient employment of the resources allotted to a commander. It embodies the accepted functions of planning, organizing, innovating, directing, co-ordinating, and controlling. The next volume in this series on leadership is CFP 131(3) Management for the Professional Officer.

3. Throughout this volume, emphasis has been laid on the maintenance of the primary objective. The leader has repeatedly been counselled to bear the aim in mind at all times. Today the aim of the Canadian Forces is the preservation of peace; tomorrow - who knows? Should anyone lose sight of the aim, or feel his role to be unchallenging or confused, let him ponder the words of the immortal Plato, "Only the dead have seen the end of war".

1308. REFERENCES AND SUPPLEMENTARY READING

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LEADERSHIP ON BOARD THE RAIDER ATLANTISBYBERNHARD ROGGE, VICE ADMIRAL,
FEDERAL GERMAN NAVY (RETIRED)EDITOR'S NOTE

The 7,862-ton raider Atlantis left German coastal waters in Mar 40 to begin an uninterrupted sea voyage of 22 months. Her mission, which took her to the South Atlantic, the Indian, and the Pacific Oceans, was to wage commerce warfare against Allied shipping as a minelayer, armed raider, and U-Boat supply ship and oiler. Her main armament consisted of six 5.9-inch guns which was standard for the many raiders the German Navy employed in World War II. In addition, Atlantis carried four torpedo tubes, 92 mines, and two scout aircraft.

Making maximum use of disguises--flying neutral flags, repainting the ship, erecting a dummy second funnel--Captain Rogge took his ship into combat in early May 40 when he attacked and sank the British freighter Scientist in the South Atlantic. After laying her mines off the Cape of Good Hope, Atlantis spent the next year in and out of company with other German raiders wreaking havoc upon Allied shipping along the Australia-Cape of Good Hope and Australia-Suez-Colombo-Singapore routes. In that period Atlantis sank ten merchantmen and captured another five as prizes. Rogge also managed a month-long ship's overhaul at the Kerguelen Islands. From Apr to Jul 41, Atlantis operated again in the South Atlantic where she sank another five ships.

In July she began a momentous voyage: retraversing the Indian Ocean and crossing the Pacific, she completed a circumnavigation of the world by re-entering the South Atlantic via Cape Horn. She even managed to take another prize along the Southern Pacific route. On her return to the Atlantic in late October, the ship began a new career as a U-Boat refueller and provisioner. It was a short-lived one, for on 22 Nov 41, the British heavy, cruiser Devonshire surprised Atlantis while in the process of fuelling a U-Boat, and sank her. And that was the end of Germany's most successful armed raider of World War II. During her epic voyage she had accounted for 22 Allied ships, including six prizes.

I have been asked again and again how it was possible to keep the ship Atlantis at sea for such a long time without having the crew's willingness to serve slacken or their morale deteriorate, without the occurrence of acts of disobedience, or the development of bitter feuds and lasting enmities. Six hundred fifty-five days elapsed between the sailing and the return of the ship, the same 350 people being crowded together, having to tolerate each other within the narrow confines of the ship--with often half a thousand prisoners of every race and background added. The crew had to endure Arctic and Antarctic cold, tropical heat, fitful sleep in cramped and stuffy quarters, and a monotonous diet lacking fresh fruit, vegetables, and potatoes. Moreover, all family connections were severed. The daily toil was heavy, and the never diminishing pressure weighed everybody down as each man wondered: When will the bell toll for me?

People asked how morale could be kept high when in nearly two years of cruising in Atlantis, crew members could step ashore just twice, once on Kerguelen Island and once on the Atoll Vana Vana. The rest of the time was spent in an "iron prison," as some people regard a ship at sea.

An auxiliary cruiser's mission is to harass and damage the enemy at constantly changing places, to disrupt his sea-borne trade, and to tie up his forces as long as possible. That is exactly the point. In carrying out this task, material and armament are not the decisive factors--certainly not on an auxiliary cruiser--instead, it is the moral qualities of the crew, their ability to withstand strain and overcome difficulties as long as possible. The limits of what is possible in this sphere coincide with the limits of human endurance, of the extent to which men are able to bear up under physical hardships and emotional stress.

What could the men in command do to develop these qualities?

Every ship, every crew has an individuality formed by the interrelationship of the personalities of the separate crew members. Therefore an approach had to be found to the individual crew member. He had to be trained, educated, persuaded, and won over so that he would do his task voluntarily. Only if a man freely accepted the requirements of the service could the aim be achieved; that he would follow his leaders voluntarily, readily, and loyally. Seen in this light, conduct and character of the individual were of greater importance than his intelligence. In this connection nothing had a stronger influence on the crew than the behaviour of the officers and the example they set. A good example will call forth the positive sides in a man; a bad example, the negative sides.

The problem therefore was--especially on an auxiliary cruiser whose foremost task was to remain at sea as long as possible--to find the key to the personality of every individual aboard. To employ drill and impersonal measures would have been just as unsuitable for achieving this end as to discharge duty routine and recreational programs in a purely functional manner.

The Official German Navy Record of 1914-1918 already contains the passage: "Service conditions on an auxiliary cruiser must be judged in a completely different light from those on a regular warship," and it adds that "the many days a raider operates without achieving any visible success, the long period it remains at sea and the monotony of life on board are aspects which must be given careful attention."

On board the ship Atlantis, I tried never to forget this. Day by day, I made an earnest effort to demonstrate to the men entrusted to me what I expected from them, instead of just talking about it. As for the rest, I reasoned that the planning done and the measures taken prior to putting to sea would affect vitally the final outcome of our operation.

I considered the selection of the crew--officers, petty officers, and sailors--to be the most important job.

In selecting the officers, I was guided by the principles of a Prussian general: "Officers with backbone, professional skill, personality, unselfishness, energy, tact and discretion...."

I found what I was looking for, making sure that as many as possible of those men had had seafaring experience. We formed a community based on the motto which I had learned in peacetime from the captain of a training cruiser: "You cannot be everybody's friend, but you can be a good comrade to all." When the occasion demanded it, I also needed the courage to make myself unpopular.

Even young men, full of energy, who consider all systems and institutions to be antiquated and to whom the whole world is not wide enough, must be willing to accept the education which will develop the qualities of chivalry, humility, amiability, helpfulness, respect, consideration towards others, reverence, and kindness. They also must improve themselves and, through asserting their manliness, they must guard against their spiritual capabilities becoming stunted.

The same principles used in training the officers I also tried to apply to the entire crew and, in selecting the individual men, I tried to pick out only those who were true sailors and soldiers, who were capable of enthusiasm, able to surmount difficulties through their own efforts, and ready to make sacrifices. They had to be capable of genuine comradeship, to be able to forego occasionally their own interests and to subordinate themselves and fit into the overall organization. Adventurers were undesirable and so were arrogant, intolerant men, such as party functionaries, and the like. In the end, a healthy mixture was achieved, made up of career officers and men, reservists, old and young sailors, men from northern as well as from southern Germany, married men and bachelors. This group was supplemented by about 30 members of the merchant marine.

Men with no regular occupation were unsuitable, for they are the first to be malcontent; they are unstable, slow to establish contact; they are at a loss as to what to do during leisure hours and have a hard time thinking of anything to talk about. As far as possible, I excluded them from my list.

After the men had been selected and the educational process started, what could be done to make the endless time spent at sea pass more pleasantly and more quickly for the crew? In this respect, also, forethought and planning meant half-way to success. We saw to it that the ship was fitted out with decent, comfortable quarters, suitable for the tropics, sufficient washrooms and shower facilities, fixed berths, ample locker space, a reading-room and a large mess hall, a roomy library conveniently located to the recreation rooms, a barber shop, a shoemaker and a tailor shop, a laundry and a pressing shop, a large galley and bakery. In addition, and this proved to be most valuable later on, a soda fountain and a large ice cream machine were set up, and refrigerators were installed. Furthermore, we provided decently furnished, separate prisoners' quarters equipped with appropriate sanitary installations.

The library was established largely under my personal supervision in such a way as to offer something useful from every branch of learning and to supply suitable background material for the planned lecture program. The long cruise should as far as possible be utilized for raising the educational level and enlarging the individual's knowledge. As a beginning, our men could choose from 900 works covering the fields of technical literature, travel, history, nature, and culture, and also good novels. Of course, in this collection the humorous side was not neglected. Later on, the library was supplemented by a stock of foreign-language books for the prisoners.

As it happened, the longer the cruise lasted, the more the hunger for books grew. The librarian noted down which books were in greatest demand and how often each book was taken out.

The books were a valuable source of strength. They helped us to renew spiritual and mental energies and were a bridge to the homeland. The Director of Educational Programs, in addition, had supplied a well-stocked technical library to be used for instruction courses.

Games, materials for the hobby shop, a large record collection and a considerable number of full-length motion pictures supplemented the library. All these things, however, were nothing but the material prerequisites needed for guiding a ship's crew. They were aids and were regarded and employed just as such. Attention was always focused on the individual, and from the outset our efforts were directed towards creating a tightly-knit community, towards preparing ourselves for the tasks that lay ahead and towards becoming an organic part of the ship that was to be our home. Comradeship, the community spirit of men on board a ship, could not be taken for granted, but, on the contrary, had to be cultivated carefully.

The success of these measures depended largely on the conduct and the example set by the officer corps. The individual officer's duty was to examine himself again and again and to correct errors, to be as honest with himself as possible, to know himself and to consider himself first of all to be a "trustee of the men given in his charge" in the spirit of Baron von Stein who once said, addressing some Prussian officers:

"You are officers--where does this word derive from? --From the Latin--officium, that is, duty. To put it in plain German, you can call yourselves men who are in duty bound; in duty bound to your honor, to your caste, to your homeland. Take careful note of the fact that your rights are not being discussed. Fulfilling your obligations entails establishing your rights, so it can be said that it is your foremost right to do your duty."

Today, such convictions are not very popular. Nevertheless, they are sound. We of the Atlantis' crew tried to apply them in everyday life.

Our task of forming the individual was not just a military problem nor did it imply only questions of soldierly discipline. The task was not only to teach service regulations and see to it that they were observed; it also had psychological and pedagogical aspects, such as confront everyone who is responsible for the welfare of human beings, be he officer, non-com, physician, minister, teacher or politician. We had to find out first what kind of upbringing and education the individual had received, how far he had developed as a result of his experience in the human and spiritual spheres, and what his fundamental convictions were. For us this meant accepting all men as creations of a God who confers responsibility and demands a reckoning. From this acceptance the noblest feelings emerge: reverence for all living things, respect for the individual, and devotion to the protection of human dignity. The last point, especially, was bound to become important in handling the prisoners of war. Therefore it was necessary to awaken the understanding of this issue in the mind of each crew member.

The basis for this joint educational effort could only be personal contact. Superiors had to gain the confidence of their subordinates. To this end, the officers and petty officers on board had to become acquainted with every man as soon as possible. Greeting a person without addressing him by name is impersonal. An ordinance expressly forbade adding a name to the Hitler salute. So for this reason alone, if for no other, we had no use for the Hitler salute.

As another means for speeding up the process of uniting the ship's company, "family bases" were established in larger cities, to which the dependants of our men could turn if they had some problem or needed help. In the case of married men with children whose families lived in small towns, we contacted the mayor in question, informed him that letters might be few and far between, and asked him to assist this man's family in securing coal and potato supplies and in coping with other wartime difficulties.

The functions of the family bases also included checking from time to time, after an air raid, for instance, on the situation of dependants of Atlantis crew members. They then passed any relevant information to the Naval Command, which, in turn, added to the next wireless message some such remark as "Kiel all right" or "Wilhelmshaven all right."

After we had set out, there was no chance for the individual to contact his home. So this was the critical moment for the beginning of intellectual and spiritual guidance. In order to be able to perform this task, officers as well as noncoms had to have a sympathetic and intuitive understanding of the worries which weighed upon the crew--especially on the reservists, the married men, and the older sailors. Whenever a younger officer or petty officer failed to gain such understanding, an older and more mature man had to help him. Intellectual and spiritual guidance will be accepted only if a person feels respect for the other fellow, not only in his official capacity but also--and even more so--in private life. A man must know that he can talk over all his cares with his superior and that he can count on finding sympathy and understanding.

Only then will he be ready to serve his superior wholeheartedly. One has to appeal to the feelings of a man and not to his reason in order to gain his confidence; this is the ultimate aim of human guidance. Only on the basis of trust will a man follow his leader readily and loyally. And it is this spirit which inspires extraordinary feats. A man commanding authority who desires to become a true leader cannot take the task of gaining his subordinates' confidence seriously enough. Confidence begets courage; confidence gives strength; confidence produces respect. Nothing can replace it; it is a means towards achieving the greatest things.

There was a man on board by the name of von Schassen. He was an elderly sailor who had belonged to the old crew of the Golfendels. He was neither an officer nor a petty officer. But he was an outstanding personality, calm, well-balanced, and mature, and he enjoyed the confidence and respect of his comrades to an unusual degree. It was not that he tried to court confidence; it was bestowed on him because of the sort of man he was. In times when our patience and our nerves were strained to the utmost, when we sweltered for weeks on end in the fierce heat of the equatorial sun, and a mood of discontent threatened to develop among the crew, it was not so much the word of a superior as the influence of an equal--the influence of von Schassen--which made it possible to calm the discontent of individual crew members by a few sober words and to dispel the critical mood.

In my years at sea, I had learned to judge a person's state of mind and mood from his facial expression and to use the individual approach. Psychological insight is indispensable and is gradually gained through experience and watchful observation. To possess it means to hold the key to establishing authority and commanding respect as a man who is recognized not only as superior in rank but also as a superior person. I believe that in the future, the officer position will be based on personal respect. For, due to the social upheaval which occurred in our time, there is no longer, as there was in the past, a social caste whose right to provide the nation's leaders is undisputed.

On board the ship Atlantis, we tried to make the crew understand how closely a sailor is bound to his elements--the sea, the sky, and the wind. Realization of this fact lends to humility. How small a human being is before the elements! The acknowledgement of dependence on the elements also educates a man towards tolerance, chivalry, tact, and poise. We scorned boastfulness and smart-alecky ways as being conduct unbecoming a sailor.

As the time passed, an increasing success was achieved. When tasting success, one should remain humble and reserved. Thus we strove to demonstrate the meaning of such terms as deference, reverence, and kindness by setting an example. For those qualities blended together and formed a solid basis of calm endurance.

Captain Nerger, the commander of the auxiliary cruiser Wolf during World War I, had taught us that "patiently enduring is more difficult for a man than valiantly attacking". And Admiral Jellicoe of Britain says in his memoirs about the 1914-1918 war: "I won't fail to emphasize once again that victory does not depend so much on encouraging success as on monotonous routine duty faithfully performed day and night in every weather." The longer the time spent at sea, the more the Atlantis crew possessed the capacity of "patiently enduring" and "performing monotonous routine duty in every weather". This could be attributed to the efforts of the superiors just as much as to the determination of the men to improve themselves, to fit into the community and to subordinate their personal interests.

Only thus were we able to survive, for example, a period of three months in which nothing happened, no ship, no masthead was sighted, and so no ship was captured or sunk, while the special bulletins heard over the radio which told of victories gained by the land forces seasoned the monotony and uneventfulness of our days in a peculiar way.

Especially during such periods, sports, classes, movies, and entertaining recreational programs served as a much needed counter-balance. Moroseness, anger, and grumbling could not be prevented, but these moods did not

seriously affect the spirit and conduct of the crew. And this was what counted. Boredom and idleness, the worst enemies of discipline, were not allowed to develop.

There are always plenty of things to be taken care of on board ships. But we tried to give meaning and purpose to every activity and not to order useless chores just to keep the men busy. An officer was responsible for every special service; the managing of a detail was never left to a non-commissioned officer alone. I myself informed the crew about measures, projects, and plans as they concerned the ship as far as security regulations permitted. Officers, noncoms, and crew members held lectures on a wide range of subjects.

There was never any question but to distribute evenly all material things among the entire ship's crew. Every single man on board received the same rations, the same portion of beer, tobacco, fresh water, and special supplies, so that there was no cause for envy and jealousy. We kept so strictly to this maxim that I ordered the refrigerator in the officers' mess to be stopped after I had seen a sailor empty his can of lukewarm beer over the side. Soon this measure produced results. Ways and means were found to provide cooled beer also for the enlisted men.

All officers, and particularly the medical officers, co-operated in handling the sexual problem, devoting their attention to these matters and bringing to this job a clean outlook and sympathetic understanding. Thus there was no trouble in this respect.

Right from the start I laid down the rule that subordinates were to be treated decently and justly. Shouting was taboo. You cannot teach a dog obedience by shouting at it, and this tactic will succeed even less with a human being. Of course, occasionally a dressing-down was called for, but we saw to it that the self-respect of a man was not destroyed, and that discouragement and apathy did not develop. By making wise use of praise and censure, the self-assurance and sense of responsibility of a man were bolstered and his eagerness to follow his leaders loyally and to help fulfil the common mission was increased.

As to disciplinary measures, the sequence was instruction, reprimand, a sound talking-to, and finally, punishment. Punishment was meted out after careful consideration, and no steps were taken rashly or out of momentary anger.

All personal angles received careful attention: birthdays were mentioned over the ship's loud-speaker system; sick crew members were visited in the sick bay by their superiors; we talked with our men about their families, we showed interest in all personal matters so that a subordinate understood that he was not just a number in the eyes of his superiors, but a human being. In all this we tried to talk the man's own language, to stimulate his thinking processes, to keep his interest in the ship awake and to strengthen it. In this way, the ship, as I had wished it, became, in the best sense of the word, his home.

When a man was reluctant to confide a purely personal matter to this immediate superior, he knew he could turn to some other officer outside his own department, or to one of the physicians, and that he would always find a willing ear. Here a man could unload gnawing cares concerning his family, here he could seek arbitration settling a dispute among comrades, here he could find help in solving problems which he was unable to cope with all by himself. Here, above all, an opportunity was offered to settle minor troubles by clearing the air through a heart-to-heart talk. Day and night the commander, as head of the entire ship's crew, was accessible to every man on board, provided the man in question was in a positive frame of mind for discussing a matter. Awareness of this fact usually was enough to prevent any abuse of this privilege. From such occasional conversations ideas for instructional talks were gleaned.

Just as there was only one Atlantis family, there was only one officer corps, where no distinctions were made between career officers, reservists, specialists holding officer's rank, or merchant marine officers of freight steamers or passenger ships. We attached great value to unsparing justice as well as to candour regardless of rank of a person and to strict discipline, while observing the

traditional courtesies aboard a ship. Officers in shirts-sleeves wearing slippers--just to give an example--were an unknown sight on Atlantis. The guidance program was keyed to the receptiveness and comprehension of the individual.

We never tried to mislead our men with cliches and slogans, but adhered to the truth and advocated a sober realism. Without this, confidence from the bottom to the top would not have been possible. The problem of the spoils of war and the distribution of booty was quickly settled and no trouble was experienced in this respect later on.

As a matter of principle, we treated our prisoners just as we would have wished to be treated if the tables had been turned: humanely and fairly. We saw in them men who but for the adversities of fate could have been our comrades, men who served their country just as we served ours and who--for this reason--deserved to be treated in a respectful and dignified manner. Due to this attitude, the name of Ship 16 was held in good repute, and has not been forgotten, even today.

There is one more thing to say. We made every effort to guard against people's minds becoming dull, and so we kept looking for new ideas which would help the individual to get out of his everyday rut and which would provide new topics of conversation. There was room for humour and gaiety in the cabaret organized on board, offering relaxation and preventing constraint: "everybody who felt like joining in, was welcome to do so".

Hours of contemplation on important holidays, such as Christmas and Memorial Day, appealed to the emotions of the individual. The Lord's Prayer which we said jointly on the morning after the encounter with the battleship Nelson and the aircraft carrier Eagle is a memory which, I believe, nobody who was present will forget.

Wearing uniform and always clean dress--a detail I set great store by--helped to promote the individual's regard for his inherent dignity and to foster a healthy self-confidence just as much as keeping the ship and the quarters shining. Actually, the dress and carriage of a man always reflected his mental attitude.

During off-duty hours we encouraged all kinds of arts and crafts. Also there were study groups for mathematics, history, English and other subjects, guided by officers. A large segment of the crew was eager to expand their knowledge. When planning lectures, we made sure to schedule these events at an opportune time and, equally carefully, we catered to and fed the desire for good classical music. Though not everybody on board shared in this interest, many more of the men appreciated the works of Beethoven, Bach, and Mozart than might be generally believed. Nearly every night, during the evening round, the crew sang together, often with the officers joining in, in a large recreation room, or on deck, and those singing sessions invariably concluded with the Brahms's Berceuse whose German version runs: "Good evening, good night...Tomorrow morning, God willing...you will wake to a new day." God willing... Everybody understood that this dependence was an undeniable reality and accepted it in a positive frame of mind.

I believed that it was vitally necessary for each man to relax and get away from the daily routine and discipline if he were to remain a human being and keep his individuality. Therefore, I issued an order stating that everyone was entitled to two one-week vacations during the entire operation.

Fortunately, the ship's isolation ward was never needed for contagious diseases and it was turned into our "recreation home." Except for General Quarters whenever man had to be on station, men on leave could do whatever they wanted. Even a man resting in a deck chair on the afterdeck was protected from being ordered back to duty by a special sign which read, "I'm on leave." Non-commissioned officers passed their vacation inside their own cabins.

It was interesting to study the different ways in which the men spend their time off. By discreet observation, superior officers were able to draw useful conclusions about the personality, character, and general behavior of the men under their command.

The first measure to be taken after our return was to keep the crew together and to protect them from the temptations of life ashore and the corruption which was rampant in the occupied territories even at that time. When, early in 1942, the crew was disbanded, having been detailed to new commands, every one of them felt in his heart that the "Atlantis family" would continue to exist, and this has proved true until this very day. It is a solidarity uniting us for life which nothing will ever shake, which also after the collapse of our country often gave strength and moral support to the individual member. The long time we spent at sea, the complete isolation of the ship, the fact that we had to rely on our own powers had made all of us more thoughtful, more earnest, more introspective, and more mature and helped us to acquire a thorough self-knowledge. The endless ocean, the far horizon, beyond which so many things remain hidden to human eyes, taught us that there are things between heaven and earth which we can neither comprehend nor explain. This realization served to make the Atlantis voyagers humble, tolerant, and free, and at the same time reverent and God-fearing, and it increased their willingness to embrace the principles of authority and obedience.

In conclusion, I would like to state that we knew no "drill", no "blind obedience", nor any "breaking of the individual will", a charge which some quarters today level at the traditional soldiery. Voluntary subordination and co-operation, human ties between superior and subordinate, recognized authority of the superior, were unique among the ship's and boat's crews of the German Navy, and these qualities have remained unchanged until the present day. Such comradeship of men who fought together and shared a common destiny which was entered into for life could only be achieved through setting an example to all the men of the Atlantis and through prudent guidance.

Vice Admiral Rogge was commissioned as an ensign in the German Imperial Navy in 1917. During the 1920s, he served aboard the battle cruiser Moltke and light cruisers Stralsund and Pillau. In 1930, he was in charge of midshipmen training on board the cruiser Emden, on a year-long voyage to India, Japan, and Africa. From 1936 to 1939, he commanded the training ships Gorch Fock and Albert Leo Schlageter and, aboard Schlageter, cruised for a year in West Indian and South American waters. From 1939 to 1941, he commanded Schiff 16, the Armed Raider Atlantis. At war's end, he was Commander-in-Chief of Task Force Rogge, on board the cruiser Prinz Eugen. Discharged in 1945, he was recalled 12 years later to Command Military District I (Schleswig-Holstein and Hamburg). Upon his retirement in Mar 62, he was promoted to his present rank.

THE BATTLE OF LEUCTRA

1. Epaminondas of Thebes, in 371 BC, found himself in command of the Theban forces at war with Sparta. Because he had fought previously as an ally of Sparta, he knew their tactics perfectly. In battle, the Spartans fought in line, twelve ranks deep, the Spartan citizens on the right and their allies on the left, with their line divided into three segments and with cavalry covering the flanks. Their enemies always fought in the same formation, and since the Spartans were the most hardened and devoted warriors in Greece, they always won.

2. Epaminondas' mission was to defeat and destroy the Spartan army in the field. The obstacle he had to overcome was the indomitable Spartan fighting spirit and efficiency. The critical factor was the Spartan habit of fighting on the right of the line. If he could crush their right, their allies would flee. He had noted that the Spartans, charging across a field, dressed by the right. Spearmen, carrying heavy shields, tended to lag back on the left. His solution was to mass his force on the flank that would meet the Spartans. Spearmen, leaving a thin line, denied battle to the last minute, opposite the Spartan allies. Once his mass had crushed the Spartan right, he could wheel his troops to the centre, rolling up the ranks of Sparta's allies and forcing them off the field. Epaminondas practised his 6,000 in this manoeuvre.

3. In the Battle of Leuctra which followed, the Spartan force of 10,000 was defeated, following a fierce cavalry engagement on the flank where Epaminondas had thickened up his ranks from the normal 12 to 50. It was a column rather than a line which struck the Spartans. The battle is diagrammed below. The Spartan casualties numbered 2,000. The Spartan allies fled before the Theban left wheeled round to engage them. At that moment, Sparta, as a political force to be reckoned with, disappeared from history and the phalanx, the heavy mass of spearmen with which Alexander conquered the world, was born, later to be adopted as the pattern for the Macedonian infantry.

Battle of Leuctra 371 BC

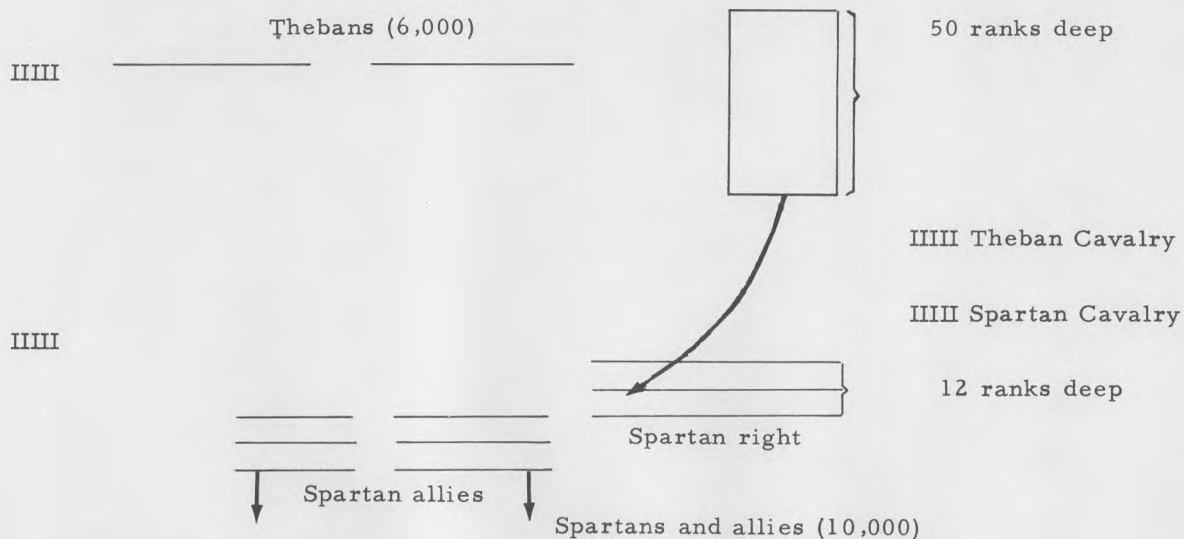


Figure B-1 Battle of Leuctra 371 BC

4. Epaminondas had rejected the alternative to fight in the Spartan fashion, as all armies had fought for centuries. With reference to the questions a leader must ask himself in testing a decision, he chose the course of action which:

- a. was simple;
- b. took full account of time, space, and resources;
- c. was the most flexible under the circumstances;
- d. took into account co-operation between infantry and cavalry;
- e. in its conception and execution, reduced the risk of failure; and
- f. in destroying both the leadership and the strongest element of the Spartan force, fulfilled the condition of the aim, to defeat the enemy's force in the field.

5. One of the greatest dangers a leader may court lies in any attempt to "learn" from past events, not the principles but the facts. The mass that Epaminondas concentrated would probably, on a battle field today, offer nothing more than an excellent nuclear target for the enemy. The innovation, however, the surprise gained by an unexpected and imaginative use of men and material is the sort of solution for which a leader today should constantly search in his problem-solving.

6. This is not the place to discuss the principles of war, but from his analysis of the decisions leaders in the past have made, the junior officer has available a multitude of examples he can use. The relationships to look for in the study of military history are those between the problems confronted by leaders in the past, their methods of solving them, and the way in which their solutions have given rise to the principles of war which are the corner-stone of today's military studies.